



HABC PIC POLICIES MANUAL

Document Title: HABC PIC Policies Manual		Procedure No.: PMEA001
Date Issued: 11 February 2011	Last Revised: 23 March 2017	Revision No.: 0.18



CONTENTS



Section Title	Page Number	Category Number	Document Number	Document Title	Document Revision Number
PIC Policy	1	1	PMEA 001	HABC PIC Policies Manual	0.17
	3	1	PMEA 002	Welcome Note	0.02
	6	1	PMEA 003	MEA Organisation Chart	0.09
	8	1	PMEA 004	Non-Conformities Procedure	0.02
	11	1	PMEA 005	Sample PIC Certificate	0.03
	13	1	PMEA 006	Use of HABC Logo	0.01
	18	1	PMEA 007	Recruitment Process for External Consultants	0.00
	21	1	PMEA 008	PIC Certification and Trainer Approval Requirements Policy	0.02
	24	1	PMEA 009	Surveillance and Recertification Policy Pertaining to the Person in Charge Program	0.03
	30	1	PMEA 010	PIC Trainer Certification Scheme ("The Scheme")	0.01
	33	1	PMEA 011	Personnel Procedure	0.00
	46	1	PMEA 012	Policy for Persons requiring Certification Pursuant to the Person in Charge ("PIC") Scheme	0.01
	49	1	PMEA 013	HABC MEA Registration Form	0.07
	51	1	PMEA 014	Certification Decision Making Policy	0.00
	53	1	PMEA 015	Policy Pertaining to the use of logos/marks Pursuant to the Person in Charge ("PIC") Scheme	0.01
	56	1	PMEA 016	Use of Logo/Mark Agreement	0.01
	58	1	PMEA 017	HABC MEA Impartiality Policy (PIC ISO-17024)	0.02
	64	1	PMEA 018	HABC MEA Impartiality Declarations and Register Form (PIC ISO-17024)(0.03
	70	1	PMEA 019	Document and Record Control Procedure	0.01
	75	1	PMEA 020	Internal and Audit Management Review	0.02
	78	1	PMEA 021	Policy for Using DAC Accreditation Symbol	0.02
HABC Policy	85	2	PMEA 022	Customer Service Statement	0.01
	90	2	PMEA 023	Diversity and Equality	0.00
	92	2	PMEA 024	Centre Approval Information and Guidance Notes	0.02
	101	2	PMEA 025	Centre Code of Conduct	0.01
	104	2	PMEA 026	Application for Centre Approval (Form CA 1)	0.03
	113	2	PMEA 027	Stages in Centre Approval Application Process	0.00
	115	2	PMEA 028	Nominated Tutor Code of Conduct	0.01
	117	2	PMEA 029	Guidance Notes for Completing form for Nominated Tutor (Form NT 1)	0.01
	119	2	PMEA 030	Application for Nominated Tutor (Form NT 1)	0.03
	127	2	PMEA 031	Stages in the Application Process for Nominated Tutor Application	0.00
	129	2	PMEA 032	Reasonable Adjustments Policy	0.01
	136	2	PMEA 033	Monitoring and Evaluation Procedure for Reasonable Adjustments	0.00
	138	2	PMEA 034	Form RA 1 to Complete where the Centre has Permitted Reasonable Adjustments	0.00
	140	2	PMEA 035	Applying to HABC for Reasonable Adjustments (Form RA 2)	0.00
	144	2	PMEA 036	Special Consideration Policy	0.01
	147	2	PMEA 037	Applying for Special Consideration (Form SC 1)	0.01
	151	2	PMEA 038	Centre Approval Information Update (Form CAIU 1)	0.01
	155	2	PMEA 039	Monitoring Procedures for Centre	0.01
	158	2	PMEA 040	Examination and Invigilation Regulations	0.01
	168	2	PMEA 041	Invigilation Instructions	0.01
	176	2	PMEA 042	Examination Candidate List and Declaration	0.00
	179	2	PMEA 043	Seating Plan Guidelines	0.00
	182	2	PMEA 044	Application for a Replacement Certificate (Form RC 1)	0.02
	188	2	PMEA 045	Examination Feedback Form (Form EF 1)	0.00
	191	2	PMEA 046	Malpractice Guidance Notes	0.01
	197	2	PMEA 047	Enquiries and Appeals Procedure	0.01
	201	2	PMEA 048	Appeals Form (AF 1)	0.01
203	2	PMEA 049	Complaints	0.02	
205	2	PMEA 050	Plagiarism	0.01	
210	2	PMEA 051	Copyright	0.01	
212	2	PMEA 052	Use of Languages	0.01	
214	2	PMEA 053	Translation Policy	0.01	
Misc. PIC	216	3	PMEA 054	Course Specification Level 2 Person in Charge	0.00
	220	3	PMEA 055	Course Specification Level 3 Person in Charge	0.00
	224	3	PMEA 056	PIC Frequently asked questions	0.01
	234	3	PMEA 057	Person in Charge Fees	0.01
	236	3	PMEA 058	PIC Requirements	0.01
	239	3	PMEA 059	Trainer Specification Person in Charge	0.01
	244	3	PMEA 060	HABC MEA Impartiality Forms	0.00



HABC Welcome Note

Document Title: Welcome Note		Procedure No.: PMEA002
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.02



WELCOME NOTE

- 1. Welcome!! to Highfield Awarding Body for Compliance (HABC)**
- 1.1 Thank you for choosing HABC as a partner for your business. HABC takes great pleasure in providing a first-class service to all its clients. We aim to do better than you expect us to.
- 1.2 The Policies and Procedures Manuals and Core Manual have been designed to provide approved Centres with details of HABC regulations, policies and procedures, processes and instructions for completing application forms. Within the Core Manual, Centres will find all necessary information required to deliver approved qualifications.
- 1.3 In order to ensure the examination process is as simple as possible for all our clients, HABC have split our Manuals into sections. Each section is subsequently split into a number of Annexes or categories.
- 1.4 All sections are presented in an order that represents the flow of the whole examination process from initial application to dispatch of examination certificates. Annexes/categories within each section will provide one of three things:
 - 1.4.1 State HABC regulations, policies and procedures;
 - 1.4.2 Provide guidance notes for completing application forms; and
 - 1.4.3 Include application forms
- 1.5 HABC recommends storing a hard copy of our Manuals in a central, easily accessed location within each Centre. The Manuals should be referred to as an initial source of information for Centres or Nominated Tutors each time a query or issue is raised. If the Manuals do not provide answers then please contact HABC Customer Services.
- 1.6 HABC is a leading independent, Awarding Organisation operating in the compliance arena with an aim to promote education, training and qualifications.
- 1.7 Founded in 2008, the business has invested significant time and resource into the Awarding Organisation, ensuring it is unique in the way it operates, and fulfilling aims to offer its clients the best possible service and opportunities within the industry. HABC is the world's leading Awarding Organisation offering Food Safety, PIC and Compliance qualifications.



- 1.8 Colleagues working for HABC have a sound understanding of the industry, and know exactly what it takes to deliver an outstanding customer proposition.
- 1.9 As an Accredited Awarding Organisation, HABC specializes in awarding qualifications. HABC qualifications are designed specifically to be relevant in the workplace, offering unique benefits to the clients.
- 1.10 HABC courses and qualifications are delivered by Nominated Tutors who have passed through rigorous screening in order to be selected.
- 1.11 HABC qualifications are assessed in a fair and reliable manner with client needs being recognized as the most important feature in the process. For further details on HABC Customer Service provisions, please refer to PME022.
- 1.12 HABC is accredited by Ofqual, Welsh Government, CCEA and SQA and recognised throughout the world.

We look forward to working in partnership with you in the future.



Jason Sprenger
Chief Executive

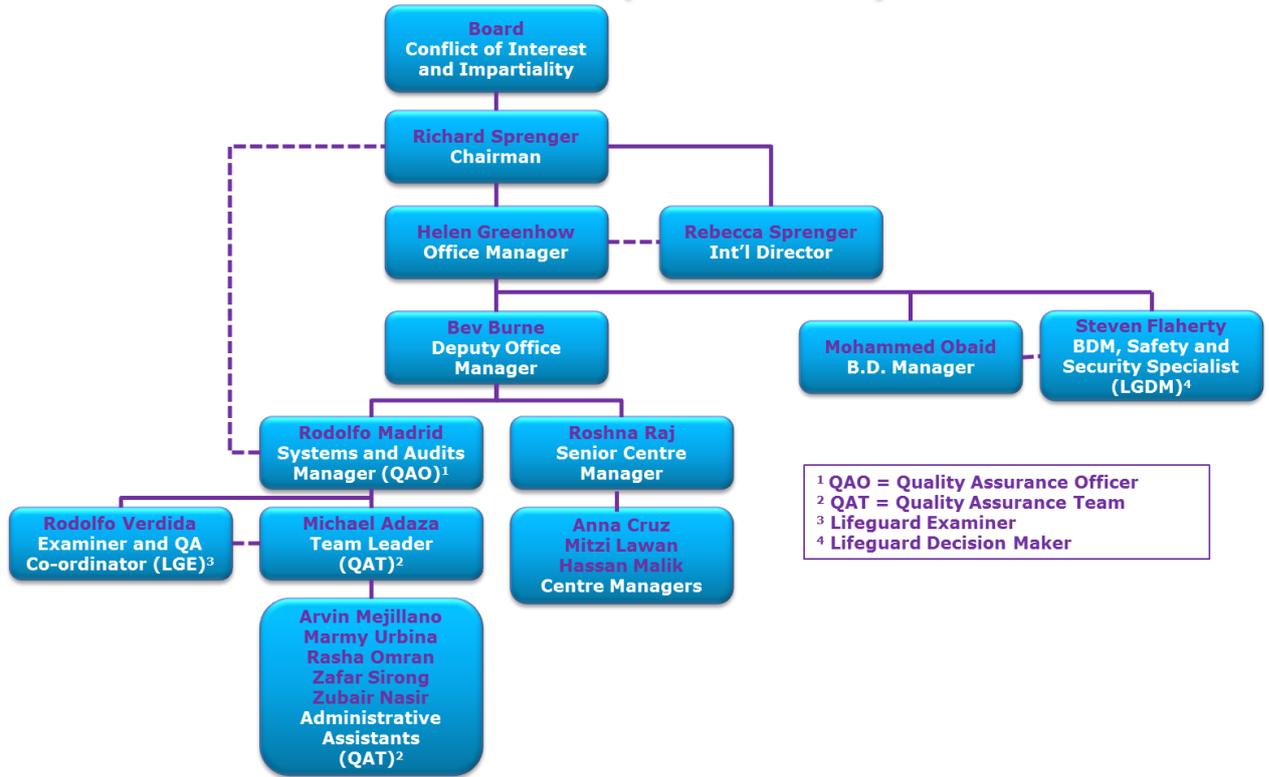


HABC MEA Organisation Chart

Document Title: HABC MEA Organisation Chart		Procedure No.: PME003
Date Issued: 11 February 2011	Last Revised: December 2016	Revision No.: 0.09



Organisation Chart Quality Assurance DAC (December 2016)





HABC Non-Conformities Procedure

Document Title: HABC Non-Conformities Procedure		Procedure No.: PMEA004
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.02



HABC NON-CONFORMITIES PROCEDURE

1. HABC Non-conformities Procedure

- 1.1 Nonconformity is non-fulfilment of a specified requirement. Nonconformities may be identified/reported through internal or external sources, such as internal audits, documentation/data receipt process, accreditation review process, assessor review panel, management reviews, peer evaluations, and employee awareness.
- 1.2 It is the responsibility of all employees of HABC to initiate action to prevent the occurrence of any non-conformities relating to the accreditation process and the management system.
- 1.3 Client-identified non-conformities should be considered a customer complaint and handled according to the HABC Complaint's procedure (PMEA049). Other items identified by external sources, including the HABC Standards Committee may be handled within the procedures for corrective actions.
- 1.4 After investigation, appeals may result in non-conformity and invoke the corrective action process.
- 1.5 HABC internal procedures provide the means for identifying and documenting an internal non-conforming process including determining the root causes of nonconformity, the plan for corrective action, authorized, personnel involved, actions taken, review the effectiveness of the corrective and preventive action as well as the records to be maintained.

2. Corrective Action

- 2.1 HABC shall identify and manage non-conformities throughout its operations and take the appropriate action to eliminate the causes of non-conformities to prevent reoccurrence. Corrective actions shall be appropriate to the impact of the problems encountered.
- 2.2 In its operations, HABC shall carry out the following activities:
 - 2.2.1 identifying nonconformities;
 - 2.2.2 establishing the causes of non-conformities;
 - 2.2.3 correcting nonconformities;
 - 2.2.4 ensuring that nonconformities do not reoccur;
 - 2.2.5 determining in a timely manner, what actions are required; and
 - 2.2.6 reviewing the effectiveness of corrective actions.



2.3 An opportunity for improvement is used in the internal audit process to identify an area where there is weak evidence of compliance with the relevant requirements, yet a non-conformity is not warranted. This particular situation would not invoke corrective action.

3. **Preventative Action**

3.1 HABC shall identify means of identifying potential nonconformities before they occur by way of preventative action. All preventative actions shall be proportionate to the likelihood of the potential problem happening.

3.2 In its operations, HABC will carry out the following activities:

3.2.1 identifying existing and potential nonconformities and their causes;

3.2.2 evaluate the requirement for actions to prevent nonconformity occurrence;

3.2.3 determining and implementing the action needed;

3.2.4 recording the results of the action taken; and

3.2.5 evaluating the effectiveness of measures taken.



HABC Sample PIC Certificate

Document Title: Sample PIC Certificate		Procedure No.: PMEA005
Date Issued: 11 February 2011	Last Revised: 13 October 2013	Revision No.: 0.03

PIC CERTIFICATE



Person in Charge Certificate **شهادة المشرف الصحي**

This is to certify that **تشهد بأن**

has successfully completed the **Person in Charge Level 2 Training** according to the approved scheme of the Food Control Department Dubai Municipality **قد اجتاز بنجاح تدريب المشرف الصحي المستوى ٢ وفقاً للمخطط المعتمد لإدارة الأغذية - بلدية دبي**

Date of issue	تاريخ الإصدار
Certificate number	رقم الشهادة
Expiry date	تاريخ الانتهاء
Company Name	اسم الشركة
Trainer Name	اسم المدرب

Jason Springer
Jason Springer - Chief Executive
Highfield Awarding Body for Compliance

Awarded by Highfield Awarding Body for Compliance, Dubai, UAE

اعتمدت من قبل هيأة هيئة الامتداد المطابقة دبي، دولة الإمارات العربية المتحدة



Person in Charge Certificate **شهادة المشرف الصحي**

This is to certify that **تشهد بأن**

has successfully completed the **Person in Charge Level 3 Training** according to the approved scheme of the Food Control Department Dubai Municipality **قد اجتاز بنجاح تدريب المشرف الصحي المستوى ٣ وفقاً للمخطط المعتمد لإدارة الرقابة الغذائية - بلدية دبي**

Date of issue	تاريخ الإصدار
Certificate number	رقم الشهادة
Expiry date	تاريخ الانتهاء
Company name	اسم الشركة
Trainer name	اسم المدرب

Jason Springer
Jason Springer - Chief Executive
Highfield Awarding Body for Compliance

Awarded by Highfield Awarding Body for Compliance, Dubai, UAE

اعتمدت من قبل هيأة هيئة الامتداد المطابقة دبي، دولة الإمارات العربية المتحدة



HABC Use of HABC Logo

Document Title: Use of HABC Logo		Procedure No.: PME006
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01



USE OF HABC LOGO

1. Introduction

- 1.13 Use of the HABC logo is restricted and monitored closely as cases of misuse of the brand will be taken seriously with possible negative implications for Centres or Nominated Tutors.
- 1.14 Centres and Nominated Tutors are permitted to use the HABC logo to promote training provision and training products in accordance with the guidance notes provided below.

2. HABC Logo



3. Logo Design

- 3.1 Printing of the HABC logo in colour requires the use of the following colours:

3.1.1 Purple

3.1.1.1 CMYK

(a) C-80, M-100, Y-0, K-0

3.1.1.2 RGB

(a) R-92, G-45, B-145

3.1.1.3 Hexadecimal (Accurate)

(a) #5C2D91

3.1.1.4 Hexadecimal (Web-Safe)

(a) #663399



3.1.2 Cyan

3.1.2.1 CMYK

(a) C-100, M-0, Y-0, K-0

3.1.2.2 RGB

(a) R-0, G-173, B-239

3.1.2.3 Hexadecimal (Accurate)

(a) #00ADEF

3.1.2.4 Hexadecimal (Web-Safe)

(a) #0099FF

3.1.3 Black

3.1.3.1 CMYK

(a) C-0, M-0, Y-0, K-100

3.1.3.2 RGB

(a) R-0, G-0, B-0

3.1.3.3 Hexadecimal

(a) #000000

3.2 Black should be the chosen colour to reproduce the logo if a single colour print is used. In this case a light colour of background paper should be used.

3.3 The shape and dimensions of the logo should not in any way be distorted, stretched or changed in perspective including changes to proportion.

3.4 The minimum size of the logo is 35mm and should not be produced in less than 200 pixels.

3.5 The removal/changes to wording/font type/size are not permitted.

3.6 Adding borders to the logo is not permitted.



4. **Using the Logo**

4.1 Use of the HABC logo should be restricted to authorized marketing and promotional materials. Examples include:

4.1.1 Stationery products such as company letterhead, business cards or compliments slips.

4.1.2 Approved Centre websites and email signatures.

4.1.3 Exhibitions including advertising events promoting HABC accredited qualifications.

4.2 A minimum 'white space' of 10 mm or 50 pixels must be maintained around the logo.

5. **Misuse of the Logo**

5.1 The Centre is responsible for ensuring appropriate use of the HABC logo in accordance with guidelines set out above. Any identified or suspected cases of misuse of the HABC logo must be reported to the HABC Quality Manager. At this point the Centre may be asked to replace their existing logo with the correct format and representation. In extreme circumstances, permission to use the logo may be withdrawn from Centres.

5.2 The HABC logo should not be used to imply that you are employed by or recommended by HABC.

If a Centre is no longer registered for whatever reason, use of the HABC logo is not permitted and immediate action should be taken to remove from all Centre related products, materials and services.

6. **Use of Certificates, Logos and Marks in respect of the Person in Charge Program**

6.1 HABC requires that all certified persons sign an agreement in accordance with the following provisions:

6.1.1 to comply with the relevant provisions of the certification scheme;

6.1.2 make claims regarding certification only in respect to the scope for which certification has been granted;

6.1.3 not to use the certification in such a manner as to bring HABC into disrepute;



- 6.1.4 not to make a statement regarding the certification which HABC may consider to be misleading or unauthorised;
 - 6.1.5 upon suspension, withdrawal or non-renewal of certification, to discontinue the use of all claims to certification that makes any reference to HABC and return any certificates issued; and
 - 6.1.6 not to use the certification in a misleading manner.
- 6.2 Any breach of HABC'S Use of Logo Policy are likely to result in sanctions which could include, suspension or withdrawal of certification, publication of the infraction and, in certain cases, legal action.
- 6.3 An example of the certificate that HABC will use to certified persons can be found in PME005.



HABC Recruitment Process for External Consultants

Document Title: Recruitment Process for External Consultants		Procedure No.: PME007
Date Issued: 11 February 2011	Last Revised: N/A	Revision No.: 0.00



RECRUITMENT PROCESS FOR EXTERNAL CONSULTANTS

1. Background

- 1.1 As HABC continues to grow, particularly with the strategic development into new sectors, we will need to secure additional technical expertise in order to develop products that are of the exacting standards that we set ourselves. It is unlikely that the type and nature of the work will require full time resources as it will initially involve intense periods of work followed by occasional input. Therefore, the ideal solution is to contract with appropriately qualified associates. HABC will need to ensure that we only contract with those associates who have significant levels of knowledge and experience and are regarded as experts in their particular sector. The process outlined below should enable HABC to only contract with associates who meet our requirements.

2. Purpose

- 2.1 The purpose of this process is to ensure that on an objective basis, HABC secures the services of the best, most appropriately qualified, skilled and knowledgeable associates to assist in the development of the business.

3. Process

- 3.1 This process is to be used for the recruitment of all external associates including Quality Auditors, Examination Inspectors, Qualification Writers, Question Writers and Examiners.

3.1.1 Need identified i.e. is an appointment necessary? – decision made to develop the qualification(s)/unit(s) where the technical skills within the sector area are not currently available from within the HABC team

3.1.2 Contract description/person specification is written. This should include some measurable objectives that the associate should achieve. For example - Writers should have at least the same qualifications as those specified in the tutor requirements for the qualification/unit. They should have worked with an Awarding Organisation previously, and/or worked with an SSC on development of NOS or regulations

3.1.3 Advertisement – internally or externally as appropriate - as these are associate contracts it is unlikely to fall under any discriminatory legislation

3.1.4 Applications from interested individuals'. This can be through a nomination of interest which MUST include a covering note outlining relevant skills and experience, full CV and a minimum of 2 referees



- 3.1.5 Selection Short list and/or interview - This part may also want to set a brief task i.e. write some questions for a particular Learning Outcome
- 3.1.6 References are to be followed up and deemed to be satisfactory, before contract offer
- 3.1.7 Decision to appoint should be taken by a minimum of the Qualifications Development Manager and one other member of senior management.



HABC PIC Certification and Trainer Approval Requirements Policy

Document Title: PIC Certification and Trainer Approval Requirements Policy		Procedure No.: PMEA008
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.03



PIC CERTIFICATION AND TRAINER APPROVAL REQUIREMENTS POLICY

- 1. Person in Charge ("PIC") Certification Sanctions for Candidates**
 - 1.1 Candidates will be certified at a level commensurate with their working activities; this will either be at Level 2 or 3.
 - 1.2 Highfield Awarding Body for Compliance Limited ("HABC") has the authority to suspend, withdraw, extend or reduce the scope of certification for PIC's in such circumstances that are set out below. The examples are not intended to be exhaustive:
 - 1.3 PIC Certification lasts for 5 years from the PIC Course and date of examination. Candidates are required to have minimum qualification and experience requirements as set out in the Dubai Municipality ("DM") Rules and Regulations. If it transpires at a later date that a candidate did not have the stated qualifications or experience, if he/she did not attend the full course (and was required to do so), if he/she failed the examination or some form of malpractice took place during the examination HABC, can apply one of the sanctions set out in paragraph 1.2 above.
 - 1.4 In order to maintain certification all PIC Candidates must successfully undertake recertification process before the end of the fifth year after certification. The recertification can be obtained by passing a recertification examination approved by Food Control Department fulfilling all the scheme requirements as outlined in the Rules and Regulations Pertaining to Food Establishments and Training Providers. PIC's will also be audited by Dubai Municipality at regular intervals to ensure that they are fulfilling their certification requirements.
 - 1.5 If a PIC fails to undertake refresher training and/or fails to pass the refresher examination and/or fails to meet minimum standards during an audit by Dubai Municipality as set out in 1.4 above, HABC may apply one of the sanctions set out in paragraph 1.2 above.
 - 1.6 HABC may apply any of the sanctions set out in paragraph 1.2 above at its absolute discretion. Each case will be determined on an individual basis and reported to the Regulator. HABC recognises that applying a sanction again a certificated person is a drastic measure and will only be carried out following a full investigation.
- 2. Trainer Sanctions**
 - 2.1 HABC has the authority to suspend, withdraw, extend or reduce the scope of Trainer Approval in such circumstances that are set out below. The examples are not intended to be exhaustive:



- 2.2 Trainer Approval lasts for 3 years from undertaking the Train the Trainer Course and subsequent Assessment. Trainers are required to have minimum qualification and experience requirements as set out in the DM Rules and Regulations.
- 2.3 If it transpires at a later date that a Trainer did not have the stated qualifications or experience, if he/she did not attend the full Train the Trainer course (and was required to do so) or he/she failed to meet the minimum Assessment requirements, HABC can apply one of the sanctions set out in paragraph 2.1 above. Sanctions can also be applied if it transpires that an Approved Trainer knowingly allowed malpractice to take place during a course that he/she was taking.
- 2.4 In order to maintain Trainer Approval status, Trainers will be required to maintain Continuous Professional Development (“CPD”) as set out in the DM Rules and Regulations. Trainers will also be subject to audits at regular intervals.
- 2.5 If a Trainer fails to meet minimum CPD requirements and/or fails to meet minimum standards during an audit, HABC may apply one of the sanctions set out in paragraph 2.1 above.
- 2.6 HABC may apply any of the sanctions set out in paragraph 2.1 above at its absolute discretion. Each case will be determined on an individual basis. HABC MEA will report the matter to the Regulator before making any decision relating to sanctions against an Approved Trainer. HABC recognises that applying a sanction against an Approved Trainer is a drastic measure and will only be carried out following a full investigation.



HABC MEA Surveillance and Recertification Policy Pertaining to the Person in Charge Program

Document Title: Surveillance and Recertification Policy Pertaining to the Person in Charge Program		Procedure No.: PME009
Date Issued: 11 February 2011	Last Revised: 6 January 2015	Revision No.: 0.03



HABC MEA SURVEILLANCE AND RECERTIFICATION POLICY PERTAINING TO THE PERSON IN CHARGE PROGRAM

1. Surveillance Introduction

- 1.1 HABC MEA has developed relevant and up to date qualifications that have been approved by the Dubai Municipality Food Control Department (DM). HABC MEA has agreed to adhere to the rules and regulations governing the Persons in Charge program developed by DM in the document "Certified Food Safety Course Rules and Regulations Pertaining to Food establishments and Training Providers" (the Regulations). This policy should be read in conjunction with the Regulations.
- 1.2 HABC MEA has established a general management system (Option A) for documents and records control; management review; internal audit and corrective and preventive actions to achieve the requirements of the international standard (ISO/IEC 17024:2012) and the Regulations.
- 1.3 Before delivering a Person in Charge Course (PIC Course), a Food Safety Trainer (Trainer) is required to have a number of pre-requisites including, but not limited to, qualifications, experience and skills. The requirements are set out in Section II Point 6 of the Regulations. If a Trainer demonstrates the pre-requisites he/she may obtain Approved Trainer Status through HABC MEA.
- 1.4 HABC MEA has a full understanding of the pre-requisites set out in Section II of the Regulations. Indeed, HABC MEA worked with DM to put these in place.
- 1.5 HABC MEA has developed sophisticated IT systems to record the professional details of a potential Trainer, who will make an application through an on-line application form. HABC will use these systems to determine whether a Trainer should be approved to deliver a PIC Course. All HABC staff involved in this process are fully trained and have sufficient competency to fulfil their duties.

2. Trainer Surveillance

- 2.1 Following a Trainer's approval, HABC MEA will monitor as follows:
 - 2.1.1 Audit a minimum of 5% of all training courses delivered by each Trainer per annum using a suitably qualified Auditor;
 - 2.1.2 Monitor the Continuing Professional Development of each Trainer per annum to ensure it meets the requirements set out in Section 4 of the Regulations;
 - 2.1.3 Carry out reviews of Trainers and Companies to generate a rating scale; and



- 2.1.4 Monitor the training materials used by the Trainer to establish if it complies with Section 6 of the Regulations.
- 2.2 Trainers at all times should meet HABC MEA's strict Quality Assurance Process as set out in the HABC Core Manual, PIC Policies Manual and HABC MEA Procedures Manual. These documents, together with the Regulations, sets out the circumstances in which Trainer status may be withdrawn.
- 2.3 Training Companies wishing to use Trainers to deliver the PIC Course will not be allowed to do so unless they meet HABC's strict Quality Assurance Process as set out in the HABC MEA Manuals. For example, Training Company must ensure that all delegates adhere to HABC policies relating to registering them for examinations. These documents, together with the Regulations, sets out the circumstances in which Trainer status may be withdrawn. The HABC 'Centre Approval' process is also carried out through HABC's sophisticated IT system and operated by fully trained and competent staff.
- 2.4 In addition, and with reference to the above, following certification HABC MEA will carry out periodic monitoring using the following methods (this list is not exhaustive):
 - 2.4.1 On site assessment;
 - 2.4.2 Information from the regulatory authorities (includes DM and DAC);
 - 2.4.3 Complaints and information from interested parties;
 - 2.4.4 Evaluation forms;
 - 2.4.5 Interviews;
 - 2.4.6 Legal action;
 - 2.4.7 Confirmation of continuing satisfactory work and work experience record;
 - 2.4.8 Examination; and
 - 2.4.9 Checks on physical capability.
- 2.5 The methods and frequency for surveillance shall be determined by the HABC MEA Audits Manager, subject to the rules set out in the Regulations and/or any other legal or regulatory consideration.



3. **PIC Surveillance**

3.1 Following a PIC's certification, HABC MEA will monitor as follows:

3.1.1 Carry out regular audits in conjunction with DM;

3.1.2 To ensure that they meets the Competency requirements set out in Section 2 of the Regulations;

3.1.3 Require each PIC to provide an annual update to HABC; and

3.1.4 Undergo recertification process before the end of the fifth year after certification.

3.2 PIC's at all times should meet HABC MEA's strict Quality Assurance Process as set out in the HABC Core Manual, Policies and Procedures Manuals.

3.3 With reference to the above, following certification HABC MEA, will carry out periodic monitoring using the following methods (this list is not exhaustive):

3.3.1 On site assessment;

3.3.2 Information from the regulatory authorities (includes DM and DAC);

3.3.3 Complaints and information from interested parties;

3.3.4 Interviews;

3.3.5 Legal action;

3.3.6 Confirmation of continuing satisfactory work and work experience record;

3.3.7 Examination; and

3.3.8 Checks on physical capability.

3.4 The methods and frequency for surveillance shall be determined by the HABC MEA Audits Manager, subject to the rules set out in the Regulations and/or any other legal or regulatory consideration.

4. **PIC Surveillance Process**

4.1 In the event that a PIC does not meet the above surveillance criteria, HABC MEA will take the following actions:

4.1.1 Discuss with DM in the first instance to establish if they have any relevant information;



- 4.1.2 Write to the PIC setting out concerns, giving a 10 day response time;
- 4.1.3 On receipt of the response from the PIC, within 5 days consider the position and set out an action taken (if any);
- 4.1.4 The correspondence referred to in 4.1.3 will include a right of appeal;

4.2 At all times, HABC will adhere to the HABC MEA PIC Certification and Trainer Approval Requirements Policy.

4.3 All decisions will be approved by the Board before they are carried out.

5. **PIC and Trainer Recertification**

5.1 The Regulations confirm that Trainers approval to offer the PIC Courses will last for a period of 3 years. Prior to the expiry period, HABC's IT systems will confirm the position and the Trainer will automatically be re-approved providing he/she has complied with DM and HABC MEA Rules and Regulations. HABC MEA will issue a new Trainer certificate accordingly.

5.2 The certification of the delegates who successfully complete the PIC Course will be valid for a period of 5 years. Prior to the 5 year expiry period, HABC's IT systems will confirm this position. HABC MEA will then inform DM, who will contact the appropriate person/organization accordingly. Should the delegate need to continue their Person in Charge status they will have to go to another training course and successfully complete an exam in exactly the same way as they did on the first occasion.

5.3 Additionally, a PIC will need to undergo recertification process before the end of the fifth year after certification.

5.4 In light of the above, HABC MEA considers the possibility of recertification outside of the conditions set out in the Regulations to be rare. However, HABC MEA will consider each situation on its own account and reported to the Regulator. The following are examples of situations in which recertification may occur outside of the rules set out in the Regulations:

- 5.4.1 Changes to normative documents;
- 5.4.2 Changes in the relevant knowledge, skills or abilities;
- 5.4.3 The nature and maturity of the food safety sector in which the certified person is working;
- 5.4.4 The risks of incompetent people working in the food safety sector;



- 5.4.5 Ongoing changes in technology and requirements for certified persons; and
- 5.4.6 Requirements of stakeholders.
- 5.5 In addition, and with reference to the above, recertification by HABC may consider the following (this list is not exhaustive):
 - 5.5.1 On site assessment;
 - 5.5.2 Information from the regulatory authorities (includes DM and DAC);
 - 5.5.3 Professional Development
 - 5.5.4 Evaluation forms;
 - 5.5.5 Interviews;
 - 5.5.6 Confirmation of continuing satisfactory work and work experience record;
 - 5.5.7 Examination; and
 - 5.5.8 Checks on physical capability.
- 5.6 HABC confirms that its recertification activities shall be adequate to ensure that there is impartial assessment to confirm the continuing competence of the certified person.
- 5.7 All recertification activities will be approved by the Board and Dubai Municipality before implementation.



HABC PIC Trainers Certification Scheme (“The Scheme”)

Document Title: PIC Trainers Certification Scheme (“The Scheme”)		Procedure No.: PME010
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.02



HABC PIC TRAINERS CERTIFICATION SCHEME (“The Scheme”)

1. The Scheme has been put into place as a result of a requirement of the Dubai Municipality (“DM”) to improve food safety standards in Dubai.
2. HABC will ensure that only those persons who have successfully completed the Person in Charge (“PIC”) Trainer’s course and Assessment will have met minimum requirements.
3. The HABC Impartiality and Standards Committee (“HISC”) met on Tuesday 7 December 2010 and ratified the Scheme as set out in this document.
4. HABC MEA will implement annual Internal Audits and Manager Reviews to review and if necessary to report to Dubai Municipality any amend to the Scheme.
5. It is a HABC requirement that all PIC Trainers will have to undergo a PIC Course, Assessment and Examination in order to qualify them as Approved HABC PIC Trainers. Only Approved HABC Trainers qualify to deliver the PIC Course leading to the PIC qualification.
6. Approved PIC Trainers are also required to submit the mandatory information requested in the HABC Nominated Tutor online application form before they can be approved to deliver the PIC Course.
7. The HABC PIC Trainers Course, Assessment and Examination have been designed and implemented by DM and some of the world’s leading food safety subject matter experts.
8. Numerous interviews, surveys and pilot course have been undertaken by HABC (in conjunction with DM) prior to being finalised and agreed by HABC, DM and HISC.
9. It was agreed by HABC, DM and HISC that the PIC Trainer’s Course would be 3 days in duration. It was further agreed that PIC Trainers could receive an exemption for the first 2 days of the PIC Trainers Course if they had previously undertaken a HABC Level 3 Food Safety Course and successfully passed the examination.
10. The Examination records of those undertaking the PIC Trainers Course and examination will be retained by HABC for 3 years to ensure equity, validity and reliability.
11. It was agreed by HABC, DM and HISC that PIC Trainers will be assessed by way of assignment and multiple choice examination set by DM and HABC subject matter experts.
12. PIC Trainers certification will not be restricted on grounds of undue financial or other limiting conditions (for example, a membership to an association or group).
13. No change will be made to this Scheme without the ratification of Dubai Municipality.



14. HISC has confirmed that it supports the PIC Trainers requirements set out in Section 4 (Now Section II point 6.10) of the DM PIC Rules and Regulations, including, but not limited to, the pre-requisites and continuing CPD activity.



HABC Personnel Procedure

Document Title: Personnel Procedure		Procedure No.: PME011
Date Issued: 11 February 2011	Last Revised: N/A	Revision No.: 0.00



HABC PERSONNEL PROCEDURE

1. Personnel Procedure

- 1.1 HABC establishes and maintains the resources needed to provide initial assessment, surveillance, re-assessment and continuing assessment services as needed by its clients. This includes access to a sufficient number of assessors, including lead assessors and experts to cover all of its activities.
- 1.2 Job descriptions defining responsibilities and authority levels are available for all positions and are the basis for recruiting new personnel. Records are maintained on all employees outlining their current qualifications, experience and training status.
- 1.3 Through the HABC performance appraisal system, staff has their performance reviewed against their responsibilities and agreed upon annual objectives. The performance appraisal is one of the tools used to determine training needs and ensure the continuing competence of the staff.
- 1.4 HABC will ensure that it has enough personnel available with the necessary competence to perform certification functions relating to the type, range and volume of work performed, under a responsible management.
- 1.5 HABC shall define the competence requirements for all personnel involved in the certification process. All personnel shall be fully competent for their individual duties and responsibilities.
- 1.6 HABC shall maintain up to date personnel records of all members of staff, including qualifications, training, experience, professional affiliations, professional status and any known conflict of interest.
- 1.7 HABC require all personnel acting on its behalf to keep confidential all information obtained or created during the performance of its certification activities. As such, HABC personnel will be required to sign a contact confirming that they will comply with all internal policies and procedures, including, but not limited to, those relating to confidentiality, impartiality and conflict of interest.
- 1.8 HABC requires all personnel to declare any interest in any candidate in whose examination they are involved in any capacity.
- 1.9 All HABC personnel shall be competent in the following areas:
 - 1.9.1 applications review;
 - 1.9.2 appointing examiners, experts and assessors;
 - 1.9.3 prepare, administer, monitor grade and evaluate examinations;



- 1.9.4 handle nonconformities, appeals and complaints;
 - 1.9.5 make decisions relating to certification;
 - 1.9.6 invigilate examinations;
 - 1.9.7 numeracy and literacy;
 - 1.9.8 need to be articulate;
 - 1.9.9 work under pressure and to tight deadlines;
 - 1.9.10 attention to detail;
 - 1.9.11 implementation of a management system; and
 - 1.9.12 any other activities pertaining to awarding body certification.
- 1.10 The competence of HABC personnel will be established by verified background experience, specific training and guidance, HABC shall effectively communicate with all those that use its services. All staff will receive full training and guidance in order to carry out their responsibilities.
- 1.11 Due to the nature of PIC examinations (being multiple choice), HABC have taken the view that non- subject matter experts do not need to have minimum competency requirements for dealing with certification activities, save for those set out in this document. All HABC employees will be subject to a vigorous interview process at which suitability for roles will be assessed.
- 1.12 The following information required for HABC assessors and/or experts includes:
- 1.12.1 name and address;
 - 1.12.2 position held in any other organisation;
 - 1.12.3 educational qualifications and professional status
 - 1.12.4 work experience;
 - 1.12.5 training in management systems, assessment and auditing procedures;
 - 1.12.6 competence for specific assessment tasks
 - 1.12.7 experience in assessment and results of their regular monitoring;
 - 1.12.8 qualifications obtained; and
 - 1.12.9 any other relevant information.



- 1.13 Assessors/Experts shall comply with HABC procedures. Initial and on-going annual training must be documented to ensure the assessors/experts continue to demonstrate the necessary competencies to fulfil their duties. Performance is monitored on an on-going basis, at least once every three years, to assure there is sufficient supporting evidence that the assessor/expert is continuing to perform competently.
- 1.14 HABC will ask for feedback regarding the performance of experts/assessors, for example by way of an evaluation form or through word of mouth. Any actions needed as a result of such evaluation will be dealt with by HABC internally.
- 1.15 HABC will only select personnel who the organisation considers are fully competent to fulfil their required duties. HABC will therefore carry out a rigorous interview process before they are engaged. Reference is made to the 'Interview Template' document at Appendix 1 to this policy and 'Recruitment Process' document at Appendix 2.
- 1.16 Assessors/Experts must have a minimum of a degree and at least 10 years of experience in higher level food safety training, examination and assessment. It is confirmed that all HABC's Experts and Assessors have considerable more experience than this.
- 1.17 An example Assessor/Experts Job Description and terms of reference can be found below at Appendix 3.
- 1.18 Appendix 4 sets out the PIC qualification template used by the Experts when reviewing and amending PIC qualifications.
- 1.19 Appendix 5 is an example of the form HABC uses to evaluate PIC Qualifications. This will be used by HABC experts in order to review amend PIC Qualifications.



**APPENDIX 1: HABC SECTOR EXPERT/ASSESSOR INTERVIEW PROCESS
TEMPLATE**

Name:

Interview date:

Interviewer(s):

Sector expertise:

e.g. food safety, auditing, moderation....

Assessment setting experience:

e.g. multiple choice question writing, scenario-based

At which levels?

PIC: 1 - 8

SCQF: 1 -12

EV/IV experience:

NVQ experience:

Qualifications and other experience relevant to the role

Overseas experience:

e.g. in delivery/assessment

--

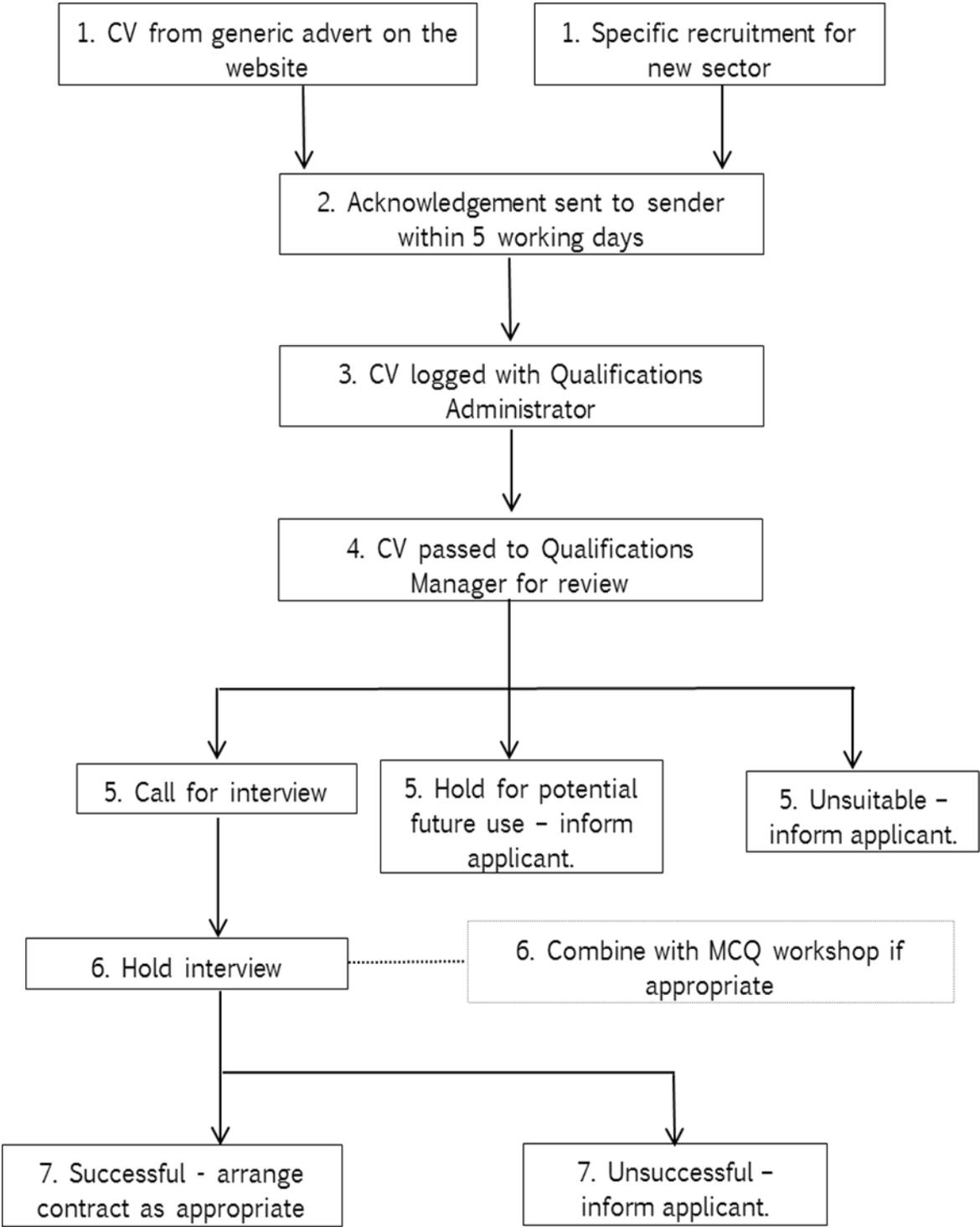
Work with other awarding organisations:
--

Any other relevant information:
--



APPENDIX 2:

RECRUITMENT PROCESS FOR SUBJECT MATTER EXPERTS/ASSESSOR





Appendix 3

JOB DESCRIPTION

POST TITLE: Subject Matter Expert

1. JOB PURPOSE:

1.1 Subject Matter Experts form part of an external, independent team who are responsible for producing non-discriminatory content for PIC and HABC qualifications, units and examination questions and answers, appropriate to the level, knowledge and skill of the qualification and/or unit being offered. In doing so, Subject Matter Experts must produce material that conforms with HABC's policy on Equality and Diversity.

2. MAIN RESPONSIBILITIES:

2.1 Understanding and upholding quality achievement and performance throughout the Awarding Body

2.2 Unit and qualification development and ensuring that all parts of the unit and qualification templates are complete and that the proposed units are developed in accordance with the PIC and HABC requirements

2.3 Completing the PIC and HABC qualification and/or unit development template and checklist as they progress their work and/or review the work of others

2.4 Undertaking, where required, reviews of other units and rules of combinations developed by colleagues

2.5 Represent the views of their sector/stakeholders and learners and feed these views into the development process

2.6 Provide constructive feedback to the Awarding Body

2.7 Attend an annual training session at HABC and highlight additional training needs as required.

2.8 Responsible for the production of examination papers

2.9 Responsible for the production of examination answer material

2.10 Offer support to Centre staff when required

2.11 Ensure examination questions are appropriate for each course/examination



- 2.12 Work with Nominated Tutors to help with any subject matter queries they may have
- 2.13 Show a clear understanding of, and conform with HABC's policies on Equal Opportunities and Diversity, Reasonable Adjustments and Special Consideration.
- 2.14 Show a clear understanding of, and conform to HABC's procedures for developing and reviewing PIC provision.

SUBJECT MATTER EXPERT REVIEW MEETINGS

3. Terms of Reference

- 3.1 The subject matter experts will meet once a quarter to ensure that the subject matter of the qualification follows the syllabus. Subject Matter Experts will also review processes and procedures in order to maintain quality and consistency.
- 3.2 Subject Matter Experts compile examination content. All staff involved in qualification and/or unit development or assessment design are issued with a guidance pack that consists of HABC key policies and PIC guidance provided by the regulators. All such staff will also be informed of the need for examination questions, assessments and supporting material to be in clear, unbiased non-discriminatory language, and to be appropriate to the knowledge and skills required of the qualification.
- 3.3 Subject matter experts review all proposed qualification and/or unit developments and associated templates and checklists for consistency of standards.
- 3.4 In order to ensure standards remain consistent over time, subject matter experts will meet twice a year to review examination questions, and ensure the content of the syllabus is reflected appropriately. Subject matter experts will, on an annual basis sample a selection of grades within a subject area from the previous 2 years.
- 3.5 Further to quarterly meetings, HABC employees will attend training sessions, external seminars and marketing events in order to ensure that high standards are maintained.
- 3.6 Subject matter experts are ultimately responsible for signing off qualification and unit developments and completed templates and checklists.

Appendix 4

Example of Qualification Development Template

--

- 1.1 This template must be completed when developing proposed HABC led qualifications for the PIC.
- 1.2 Its contents have been mapped to the relevant requirements of the Regulatory arrangements for PIC.
- 1.3 Nonetheless staff are advised to review the contents of the Regulatory arrangements to familiarise themselves with the requirements and/or contact their manager if they have any queries with regards to the requirements and/or feel they require additional training/guidance.

<i>Completed by Subject matter expert: Date:</i>	
<i>Reviewed by Manager: Date:</i>	
<i>(If required) 2nd Review by: Date</i>	
<i>(if required) 3rd Review by: Date</i>	
<i>Sign-off by Subject matter expert and Qualification Manager: Date:</i>	

Appendix 5

Example of an Examination Feedback Form Check List (For Internal Use Only)

This form should be completed in sequence by the relevant stakeholders in the process of responding to examination feedback.

Centre Name:

Centre Number:

Course Finder Plus ID:

Nominated Tutor Number:

Exam Title (including level):

Paper Code:

Examination Date:

Date feedback received:

Please insert a ✓ (tick) into the box to confirm you have completed a particular stage of the process.

Names in bold indicate who is responsible for the action.

Manager: Collate feedback forms and send to subject matter expert
Inform Account Manager of feedback received

Subject Matter Expert: Speak with the Centre Contact / Nominated Tutor

Name of person spoken to:

Date: Question Number(s):

Subject Matter Expert: To provide written details of the communication(s) to Manager (if appropriate)

Manager: To scan the written evidence of communications into the following file saved on the network drive. (Please also include this check list once completed)

HABC_Qualifications\Question_Bank\Fedback_Forms

Subject Matter Expert: Please select one option only from the list of 3 actions below:

1 No amendments

Reason for no amendments:

.....

.....

.....

.....

.....

.....

--

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

.....

2 Amend the question slightly
Reasons for amendment: Spelling Clarity Improvement Brand new Ambiguous
 Simplify Grammar Other

If other please give details:

.....

Old Question	New Question

3 Change the question completely

Please provide reasons / justification for the action(s) taken:

.....

.....

Old Question	New Question

--

--	--

Subject Matter Expert: If necessary, update Manager with details of any question changes

Subject Matter Expert Declaration:

I confirm actions taken are appropriate

Signed: (Subject Matter Expert)

Name:Date:

Centre Account Manager: Respond to the Centre confirming the action(s) taken

Date:

Subject Matter Expert: If deemed necessary, provide Manager with information to add to the website in the FAQ technical area

Manager: Update the question bank accordingly and make hand written changes to the top copy exam papers

Declaration:

I confirm all stages listed above have been completed in full

Signed: (Account Manager)

Name:

Signed: (Manager)

Name:

Date:



HABC Policy for Persons Requiring Certification Pursuant to the Person in Charge ("PIC") Scheme

Document Title: Policy for Persons requiring Certification Pursuant to the Person in Charge ("PIC") Scheme		Procedure No.: PME012
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.02



HABC POLICY FOR PERSONS REQUIRING CERTIFICATION PURSUANT TO THE PERSON IN CHARGE ("PIC") SCHEME

1. It is a HABC requirement that each person wishing to be certificated by HABC pursuant to the PIC Scheme, must sign an application form (the "Application Form") containing specific information prior to undertaking the course leading to certification.
2. The Application form referred to in paragraph 1 above contains the following details:
 - 2.1 The certification they are seeking (for example PIC Level 3);
 - 2.2 Details of relevant qualifications the person holds (this should be supported by evidence);
 - 2.3 General information, including full name and address, telephone number, email, age, gender and an indication of any special needs;
 - 2.4 The Training organisation they intend to use for their PIC training course;
 - 2.5 A statement confirming that the person being certificated agrees to adhere to HABC and Dubai Municipality ("DM") requirements for certification and that they will supply HABC with further information on request; and
 - 2.6 A statement confirming that the certificated person will immediately inform HABC and DM should any situation arise which may affect or invalidate their certification.
3. The Registration Form (See PMEA 013) is available on the HABC website. Hard copies can also be obtained by contacting the HABC MEA Office, Healthcare City, Dubai.
4. The Registration Form has to be filled by the candidate before the training starts and submitted to HABC MEA in hard copy or by email.
5. On receipt of the Application Form, competent members of HABC staff will review the information provided.
6. If an Application Form contains incomplete information, a request will be made directly to the centre or applicant to provide that missing information.
7. In the event that an applicant does not meet the eligibility requirements, he/she will be informed of the position by HABC and be given the opportunity to rectify the issue.
8. In the event that HABC does not approve an Application Form, the applicant will be informed accordingly. The applicant's nominated trainer will also be informed.
9. In the circumstances described in paragraph 8 above, the applicant will be allowed the opportunity to appeal the decision pursuant to HABC's Complaints and Appeals Policy (PMEA047 and PMEAO48).



10. All approved applicants will be informed of the position by HABC. Their nominated trainer will also be informed.
11. All Application Forms and related correspondence will be retained by HABC in accordance with internal its retention policy for auditing purposes.
12. During the Training the Candidate has to prove completion of the training hours for the PIC level (for Level 2: 10 hours and for Level 3: 18 hours) by signing the attendance sheet designed by the Training Centre.
13. The attendance sheets have to be provided to the invigilator before the examination. If the hours have not been completed the Candidate cannot be assessed. The Trainer has the opportunity to explain and if it is necessary the Candidate has to attend a refresh course by the Centre before present the examination.



HABC Registration Form

Document Title: HABC Registration Form		Procedure No.: PME013
Date Issued: 11 February 2011	Last Revised: 17 April 2016	Revision No.: 0.08

PERSON IN CHARGE (PIC) REGISTRATION FORM

1. It is a requirement that each person wishing to be certificated by HABC MEA pursuant to the "PIC Scheme" **must complete and sign** this Registration Form, including those who are going to retake the examination.

1.1 Name of PIC: _____

1.2 Designation: Owner Manager Supervisor Other (Specify) _____

1.3 Name of Establishment: _____

1.4 Company Trade License Number: _____

1.5 Business Activity: _____

1.6 Gender: Male Female Date of Birth: ____ / ____ / ____ Age: _____

1.7 E-mail Address: _____

1.8 Telephone No: _____ Mobile No: _____

1.9 Details of any special needs: Disability Vision Hearing Language
Other (Specify) _____

1.10 Course date (*Retake candidates have to provide the exact dates of the course*): _____

2. Declaration (*Please read the following thoroughly and carefully before signing*)

2.1 I confirm to the best of my knowledge the information provided is correct and there are no reasons why I should not be certified pursuant to the PIC scheme.

2.2 I agree to adhere to HABC MEA and Dubai Municipality ("DM") requirements for certification and that I will supply HABC MEA with further information on request.

2.3 I confirm that I will keep details of my PIC examination material confidential and I will not participate in fraudulent test-taking practices.

2.4 I will inform HABC MEA and DM of any changes to the information provided.

Regarding the "**Use of Certification**", I confirm that I will

2.5 Only make claims in respect of the scope in which certification has been granted.

2.6 Not use the certification in such a manner as to bring HABC MEA or DM into disrepute.

2.7 Not make a statement regarding certification that HABC MEA or DM may consider misleading or unauthorised.

2.8 Discontinue use of all certification claims upon suspension or withdrawal of certification.

2.9 Return immediately to HABC MEA any certificates, upon suspension or withdrawal of certification; and

2.10 Immediately inform HABC MEA and DM should any situation arise which may affect or invalidate my certification.

2.11 Recognise that HABC MEA maintains sole ownership of the certificate.

Signature (of applicant): _____ **Date:** ____ / ____ / ____

HABC MEA assures that all the information obtained during the certification process will be kept confidential and it will not be disclosed to an unauthorised party without consent of the candidate except where the law requires such information to be disclosed.

This section is for HABC MEA use only

Reviewed by: _____ **Date:** ____ / ____ / ____ **Signature:** _____



HABC MEA Certification Decision Making Policy

Document Title: Certification Decision Making Policy		Procedure No.: PME014
Date Issued: 11 February 2011	Last Revised: 18 March 2014	Revision No.: 0.01



HABC CERTIFICATION DECISION MAKING POLICY

1. Certification Decision Making

- 1.1** The decision on certification of a candidate will be made solely by HABC MEA on the basis of information gathered during the PIC Certification process, which includes fulfilling the required pre-requisites, undertaking the specified course, successfully completing the exam and adhering to HABC/DM administrative requirements. The decision will be made per candidate by a qualified HABC MEA Personnel.
- 1.2** It is a HABC requirement that any person making a decision in relation to certification shall not have participated in the examination or the training of the candidate.
- 1.3** HABC shall provide a certificate to all certified persons signed by the Chief executive Officer of HABC.
- 1.4** An example of an HABC certificate has already been approved by Dubai Accreditation Department. For the avoidance of doubt, the certificate contains the following information:
 - 1.4.1** The name of the certified person;
 - 1.4.2** Unique User Number;
 - 1.4.3** Confirmation that HABC is the Certification Body;
 - 1.4.4** A reference to the standards on which certification is based;
 - 1.4.5** The scope of the certification (the way the PIC process will work is that candidates will either pass or fail based upon achieving a minimum mark in an examination. There will therefore be no validity conditions or limitations for successful candidates); and
 - 1.4.6** The effective date of certification and expiry.



HABC Policy Pertaining to the use of Logos/Marks Pursuant to the Person in Charge ("PIC") Scheme

Document Title: Policy Pertaining to the use of Logos/marks Pursuant to the Person in Charge ("PIC") Scheme		Procedure No.: PME015
Date Issued: 11 February 2011	Last Revised: 14 September 2014	Revision No.: 0.02



HABC POLICY PERTAINING TO THE USE OF LOGOS/MARKS PURSUANT TO THE PERSON IN CHARGE (“PIC”) SCHEME

1. Conditions of the use of the HABC logo/mark is set out in the HABC use of logo policy. HABC will appropriately manage the rights for usage and representation.
2. HABC will require the certified person to sign an application form (“the Application Form”) confirming their acceptance of the following provisions:
 - 2.1 To comply with the HABC Use of Logo Policy and the relevant provisions of the PIC certification scheme;
 - 2.2 Only to make claims in relation to certification in respect of the scope in which certification has been granted;
 - 2.3 Not to use the certification in such a manner as to bring HABC or DM into disrepute;
 - 2.4 Not to make a statement regarding certification that HABC or DM may consider misleading or unauthorised;
 - 2.5 To discontinue use of all claims that a person is certificated by HABC upon suspension or withdrawal of certification;
 - 2.6 To return directly to HABC any certificates issued by HABC, upon suspension or withdrawal of certification; and
 - 2.7 Not to use the HABC certificate in a misleading manner.
3. Copies of the Application Form are available within this document and on the HABC MEA PIC website. Hard copies can also be obtained by contacting the HABC MEA Office, Healthcare City, Dubai.
4. The Registration Form can be submitted to HABC in hard copy or by email.
5. On receipt of the Application Form, competent members of HABC MEA staff will review the information provided.
6. If an Application Form contains incomplete information, a request will be made directly to the Centre or the applicant to provide that missing information.
7. In the event that an applicant does not meet the eligibility requirements, he/she will be informed of the position by HABC MEA and be given the opportunity to rectify the issue.



8. In the event that HABC does not approve an Application Form, the applicant will be informed accordingly. The applicant's nominated trainer will also be informed.
9. In the circumstances described in paragraph 8 above, the applicant will be allowed the opportunity to appeal the decision pursuant to HABC's Complaints and Appeals Policy.
10. All approved applicants will be informed of the position by HABC. Their nominated trainer will also be informed.
11. All Application Forms and related correspondence will be retained by HABC in accordance with internal its retention policy for auditing purposes.
12. Any inappropriate reference to the HABC certification or misleading use of certificates shall be addressed by HABC with corrective measures. Such measures could include suspension or withdrawal of certification, publication of the infraction or, in certain circumstances, legal action.



HABC Use of Logo/Mark Agreement

Document Title: Use of Logo/Mark Agreement		Procedure No.: PMEA016
Date Issued: 11 February 2011	Last Revised: 14 September 2014	Revision No.: 0.02



HABC USE OF LOGO/MARK AGREEMENT

1. It is a HABC requirement that each person wishing to be certificated by HABC pursuant to the PIC Scheme, must sign the Use of Logo Agreement below.
2. I confirm that I will:
 - 2.1 Comply with the HABC Use of Logo Policy and the relevant provisions of the PIC certification scheme;
 - 2.2 Only make claims in relation to certification in respect of the scope in which certification has been granted;
 - 2.3 Not use the certification in such a manner as to bring HABC or DM into disrepute;
 - 2.4 Not make a statement regarding certification that HABC or DM may consider misleading or unauthorised;
 - 2.5 Discontinue use of all claims that a person is certificated by HABC upon suspension or withdrawal of certification;
 - 2.6 Return directly to HABC any certificates issued by HABC, upon suspension or withdrawal of certification; and
 - 2.7 Not use the HABC certificate in a misleading manner.
3. Declaration
 - 3.1 I confirm that I will comply with the statements made in this application.

SIGNATURE (of applicant): Date:

Print full name:

With the aim of simplify the documentation for the Candidates and Centres this declaration has been included in the Registration Form PMEA 013



HABC MEA Impartiality Policy (PIC-ISO 17024)

Document Title: HABC MEA Impartiality Policy (PIC-ISO 17024)		Procedure No.: PMEA017
Date Issued: 22 July 2014	Last Revised: 19 January 2015	Revision No.: 0.02



HABC MEA IMPARTIALITY POLICY (PIC-ISO 17024)

1. **Introduction** (This Policy replace the previous HABC Impartiality and Standards Committee PMEA 017)
 - 1.1 The document outlines both our:
 - 1.1.1 approach to identifying and monitoring all actual/potential impartiality threats that may affect HABC MEA both now and in the foreseeable future; and
 - 1.1.2 possible impartiality threats that have been identified to date and the arrangements in place to prevent these from occurring.
 - 1.2 It may from time to time be provided to the Qualification Regulators upon request to satisfy them of HABC MEA's ability to comply with their requirements in relation to impartiality threats and to prevent such threats becoming 'Adverse Effects'/'Incidents'.
2. **Review Arrangements**
 - 2.1 HABC MEA will review this document annually as part of the self-evaluation arrangements. However, a review will be commissioned earlier should an issue arise in relation to an actual or potential impartiality threats and/or in response to customer, learner or regulatory feedback.
3. **Definition of impartiality threat**
 - 3.1 For the purposes of this policy we have adopted the definition used by the regulatory authorities in relation to conflict of interests. In essence an impartiality threat exists in relation to HABC MEA where:
 - 3.1.1 its interests in any activity undertaken by it, on its behalf, or by a member of its staff have the potential to lead it to act contrary to its interests in the development, delivery and award of qualifications in accordance with our regulators requirements,
 - 3.1.2 a person who is connected to the development, delivery or award of qualifications at HABC has interests in any other activity which have the potential to lead that person to act contrary to his or her interests in that development, delivery or award and impact on our compliance with the requirements of our regulator's requirements,
 - 3.1.3 an informed and reasonable observer would conclude that either of these situations was the case.



4. **Identification of Impartiality Threats**

The following list presents the examples of threats identified by HABC MEA as threats to its impartiality. Although the list is not mutually exclusive or exhaustive, it illustrates the wide variety of types of threat that HABC MEA will consider when analysing impartiality issues.

Regarding HABC MEA Staff:

- 4.1 HABC MEA Staff may have an impartiality threat that impacts on their ability to carry out their appropriately, consistently, with integrity and in accordance with regulatory requirements.
- 4.2 Quality Assurance Staff involved in the certification scheme may not objectively highlight issues with the certification process when they carry out their quality assurance role (e.g. they may be less likely to identify adverse issues with the assessments).
- 4.3 Ensuring HABC MEA Staff do not receive undue gifts or hospitality that may affect their judgment or be considered by others as impacting their judgment.

Regarding HABC MEA Centres:

- 4.4 HABC Centre Contact or Trainers may have a conflict of interest that impacts on their ability to deliver our qualifications appropriately and consistently, in accordance with our regulatory requirements.

Regarding third parties:

- 4.5 Any Third Party involved in the development and consulting of the certification scheme may have a conflict of interest that impacts on their ability to deliver develop or consult the qualification in accordance with our regulatory requirements.

5. **Overview**

- 5.1 As an organisation that keeps all aspects of its business under review, all members of the HABC MEA staff are expected to identify and inform the Quality Assurance Officer MEA of any actual or potential impartiality threat that could impact HABC MEA.
- 5.2 In addition, they are required to manage and monitor any identified impartiality threat that relate to their area of operations. Should the status of any identified conflict, or the associated controls change, then the Manager for the team should inform the Quality Assurance Officer MEA to keep record of this conflict or start an investigation.



- 5.3 Overall HABC MEA's compliance with regard to identifying and managing any impartiality threats will be reviewed regularly by the Quality Assurance Team MEA, Quality Assurance Officer MEA Operations Manager and/or the Board.

6. **Impartiality threats principles**

- 6.1 In implementing HABC's approach to identifying and managing actual/potential impartiality threats all staff and third parties are required to abide by the following principles:

- 6.1.1 All Managers, staff and third parties must commit to identifying and managing all actual/potential impartiality threat that may affect HABC and in doing so raise possible impartiality threats with the Quality Systems Manager if in doubt.

- 6.1.2 Employees and third parties must be proactive in the identification and management of impartiality threats that may affect our effectiveness, level of regulatory compliance and/or reputation.

- 6.1.3 Employees and third parties must be open about the nature of any potential or actual impartiality threats and not try to hide or present them in a better light – managing impartiality threats is about preventing issues from occurring that may impact on our operational effectiveness and/or regulatory compliance.

- 6.1.4 Strive to identify and deal with impartiality threats sooner rather than later.

- 6.1.5 HABC controls to managing any impartiality threats must be proportionate to the risks associated with the identified threat(s).

7. **Controls**

- 7.1 All HABC employees and third parties involved in any part of the qualification process will be required to sign a legally enforceable agreement setting out their commitment to follow HABC policies and regulatory requirements.

8. **Dealing with Impartiality Threats and/or Breaches to the Procedures Outlined in this Policy**

- 8.1 Should a Manager, including the Quality Assurance Officer MEA believe there has been a breach of this policy, or unforeseen impartiality threats emerge, the Board must be informed and an investigation carried out immediately along with a review of the associated procedures with the PIC Rules and Regulations Pertaining to Food Establishments and Training Providers and HABC Corporate Governance Arrangements updated accordingly. Such reviews will be led by the Quality Assurance Officer MEA (unless the Quality Assurance Officer is not able to led the



investigation, in which case the investigation will be led by the HABC MEA Operations Manager or if required an alternative member of staff or external party will be appointed to carry out the review) and the outcomes reported to the Board.

8.2 If the breach is also classified as an Adverse Effect/Incident then the Quality Assurance Officer MEA must promptly inform the relevant qualification regulator in accordance with our procedure for dealing with Adverse Effects/Incidents. In doing so, the Quality Assurance Officer MEA will inform the relevant qualification regulator of the reasonable steps that have been taken or intend to take to prevent, correct or mitigate the Adverse Effect/Incident. Including details of any reviews that HABC are/will carry out.

8.3 For information an Adverse Effect is:

An act, omission, event, incident, or circumstance has an Adverse Effect if it –

(A) gives rise to prejudice to Learners or potential Learners, or

(B) adversely affects –

(i) the ability of the awarding organisation to undertake the development, delivery or award of qualifications in accordance with its Conditions of Recognition,

(ii) the standards of qualifications which the awarding organisation makes available or proposes to make available, or

(iii) public confidence in qualifications.

8.4 If an employee or third party does not declare an impartiality threat and it comes to light at a later date, a full investigation will take place and any appropriate action taken against the employee/third party.

8.5 If any employee refuses to sign the contract or addendum, in relation to Conflict of Interest, then HABC shall not work with them.

9. **Statement of Impartiality, Highfield Awarding Body for Compliance (Middle East) Asia.**

9.1 Highfield Awarding Body for Compliance (Middle East) Asia (“HABC MEA”) takes the integrity of all of its qualifications very seriously, and as such, we have a duty to ensure the integrity, impartiality and potential conflict of interest are maintained in our qualifications and certifications schemes.

HABC MEA has designed specifications, policies and procedures to prevent the professional and personal interests of the directors, employees and associates from influencing the performance of their duties in the development, delivery and award of qualifications in accordance with any relevant regulatory criteria.

We have identified and assessed risks which may result in a conflict of interest or pose a threat to impartiality. Any conflict of interest is reported, documented in a Impartiality Threats Register and reviewed by HABC MEA. HABC MEA Policies and Procedures are reviewed on an annual basis and form part of the Director’s annual Statement of Compliance to the appropriate qualifications regulators.



In this way, HABC MEA ensure that all activities undertaken throughout the certification process are conducted in an independent and impartial manner and aim to inspire confidence in its qualifications and certification schemes to its customers and the public at large by:

- The quality and competence of its personnel;
- Offering high standards in our Customer Service;
- Integrity and transparency of processes; and
- Maintaining and protecting confidentiality.

10. PIC Objective

10.1 PIC Objective statement (this was approved by the previous HISC):

10.1.1 Aim:

10.1.1.1 To provide the course participants with the information and confidence to enable them to competently deliver the Certified Person in Charge Food Safety Course to meet the requirements of the Dubai Municipality Food Control Department and the Dubai Accreditation Centre.

10.1.2 Objectives:

10.1.2.1 At the conclusion of the PIC Course, the participants will be able to:

10.1.2.2 Explain the roles and responsibilities of the certified Person in Charge at levels 2 and 3;

10.1.2.3 Explain the roles and responsibilities of the Food Control Department, the Awarding Bodies, the Training Companies and the Trainers;

10.1.2.4 Understand the terms Ofqual accredited and Internationally Recognised qualifications;

10.1.2.5 State the relevant Dubai Municipality Food Safety legislation;

10.1.2.6 Confidently deliver the PIC training course using the Highfield Interactive bespoke training material; and

10.1.2.7 Successfully complete the HABC Level 3 Award in Supervising Food Safety in Catering.



HABC MEA Impartiality Declarations and Register Forms (PIC - ISO 17024)

Document Title: HABC MEA Impartiality Threats Register Form (PIC-ISO17024)		Procedure No.: PMEA018
Date Issued: 21 September 2014	Last Revised: 10th September 2015	Revision No.: 0.03



HABC MEA Register of Conflict of Interest (PIC-ISO17024)

- 1. **Responsibilities of Quality Assurance Team and All HABC MEA staff** (this policy replace the previous HABC IMPARTIALITY AND STANDARDS COMMITTEE (HISC) TERMS OF REFERENCE)
 - 1.1 The Quality Assurance Team HABC MEA and all HABC MEA staff have the responsibility to monitor any Impartiality Threat in the daily operations of our procedures and schemes.
 - 1.2 The Table presents an analysis of Impartiality Threat detected to be monitored, the list is not exhausted and in case of the team detects any different potential conflict of interest this will be reported to the Quality Assurance Officer MEA or the Board to be register.
 - 1.3 Table Register Conflict of Interests

Category HABC Staff
<p><u>Potential Conflict</u> HABC MEA Staff may have an impartiality threat that impacts on their ability to carry out their role appropriately, consistently, with integrity and in accordance with Regulatory requirements.</p> <p><u>Controls</u> All staff at HABC MEA is committed to carrying out their role to the best of their ability and they are aware of the need to identify and manage any potential conflicts of interest.</p> <p>Staff and members of the Board must declare any possible conflicts they have in the Register of Interests upon starting work with HABC MEA and update this should their circumstances change by completing and submitting a new Declaration of interest form to the Quality Assurance Officer, who is accountable for the maintenance of the Conflict of Interest register in the Corporate Governance system. Where appropriate the Office Manager will issue addendums to contracts where a potential conflict of interest is identified.</p>
<p><u>Potential Conflict</u> Quality Assurance Staff involved in the certification scheme may not objectively highlight issues with the certification process when they carry out their quality assurance role (e.g. they may be less likely to identify adverse issues with the assessments).</p> <p><u>Controls</u> The work of all Quality Assurance Staff is subject to review by the Quality Assurance Officer MEA to ensure that they have carried out their role effectively and consistently with the certification scheme. In particular the Quality Assurance Officer MEA will consider, as part of our on-going standardisation and review arrangements, the nature of the findings/reports/activities of such individuals to ensure they have acted consistently and appropriately.</p>
<p><u>Potential Conflict</u> Ensuring HABC MEA Staff do not receive undue gifts or hospitality that may affect their judgment or be considered by others as impacting their judgment.</p> <p><u>Controls</u></p>



Hospitality of any kind which might reasonably be seen to compromise an employee's personal judgment or integrity and be viewed as exerting influence to obtain preferential consideration should be refused.

HABC MEA Staff must not allow themselves to be put in a position that might be deemed by others to have been influential in making a business decision as a consequence of accepting hospitality. Offers of one off gifts should be politely but firmly declined.

If they are pressed, the recipient should inform their line manager. Gifts or low intrinsic value such as calendars, diaries, flowers or sweets/chocolates need not be regarded as subject to this rule. In cases of doubt, the Office Manager should be consulted.

Category HABC Centre

Potential Conflict
HABC Centre Contact or Trainers may have an impartiality threat that impacts on their ability to deliver our qualifications appropriately and consistently, in accordance with our regulatory requirements.

Controls
All HABC MEA Centres are informed of our procedures and standards. Centre Contact and Trainers must declare any possible conflicts to the Centre Manager who will register this with the Quality Assurance Officer MEA, who is accountable for the maintenance of the Conflict of Interest register. Where appropriate the Quality Assurance Officer MEA and Centre Manager will issue addendums to centre registration where a potential conflict of interest is identified.

Category Third Party

Potential Conflict
Any Third Party involved in the development and consulting of the certification scheme may have an impartiality threat that impacts on their ability to deliver develop or consult the qualification in accordance with our regulatory requirements.

Controls
All HABC MEA third parties are informed of our procedures and standards. The third party must declare any possible conflicts to the Quality Assurance Officer MEA, who is accountable for the maintenance of the Conflict of Interest register. Where appropriate the Quality Assurance Officer MEA and Board will issue addendums to the agreement or register where a potential conflict of interest is identified.

- 1.4 In case any conflict of interest is detected this has to be reported according with the procedures established in the HABC MEA Conflict of Interest Policy (PIC-ISO17024) PMEA017.

2 Impartiality declaration forms



- 2.2 All the people involved in the delivery of the Certification Scheme must be aware of the Certification Scheme impartiality.
- 2.3 HABC MEA will design a form for the Centres, Tutors, administration team and Learners to review that all of them have reviewed the regulations and they understand the concept of impartiality.
- 2.4 All the participants will have to sign a declaration which will be the confidential agreement from the Centres, Tutors, administration teams and learners to apply the impartiality of the Certification Scheme.
- 2.5 There are two forms. One for the Centre staff delivering and administrating Person in Charge Qualification and other for the Learners assessed for Person in Charge Qualification. These forms are attached in the Miscellaneous PIC PMEA 60, Impartiality forms declarations.
- 2.6 The Centre form will be signed for any new Centre and Tutor and teh Centre is responsible to aware all the staff working with the Person in Charge Qualification. This form will be filled if this is considered necessary in yearly basis.
- 2.7 The Learner form will be filled randomly with the Learners in different examinations. All the Learners already fill the HABC Application form (PMEA 013) which request confidentiality with the certification scheme. The application of the impartiality form to the Learners will be based in the number of courses per Centre and the skills of the Learners. If this is necessary this will be applied orally.

HABC CONFLICT OF INTEREST AND IMPARTIALITY REGISTER FORM

3 Documenting conflict of interest

3.2 Name: _____

--

3.3 Company: _____

3.4 Job Title: _____

3.5 Date: _____

3.6 Conflict of Interest related to (please, mark with X the conflict related):

Member of HABC staff	
Person involved in qualifications development	
Person involved in the delivery of training	
Member of HABC Centre	
External person to the procedure	

3.7 Please explain what is the potential conflict of interests:

4 Reporting to the Board (email with the information)

4.2 Send to Board (Date): _____

5 Investigation by Quality Assurance MEA

5.2 Regulations and Conflict of Interest (determine which regulations have been breached)

5.3 Corrective actions proposed

Issues	Action	Date

6 Report in case of Adverse Effect Incident

6.2 Please write the date and information reported to the Regulator in case the Conflict of Interest has any Adverse Effect Incident.

6.3 Proposal or Corrective Action from the Regulator in case of Adverse Effect Incident.

7 Confirmation of Conflict of interest investigation completed:

7.2 Name: _____

7.3 Signature: _____

8 Reporting to Board (Final Actions)

8.2 Send to Board (Date): _____

9 Annual Review

9.2 Reviewed by Board (Date): _____





HABC DOCUMENT AND RECORD CONTROL PROCEDURE

1. HABC Document and Record Control Procedure

- 1.1 Records and documents created, received or used by HABC staff in the normal course of business are the property of HABC, unless otherwise agreed. This includes reports compiled by external consultants commissioned by HABC.
- 1.2 HABC's official records constitute its corporate memory, and as such are a vital asset for ongoing operations, and for providing evidence of business activities and transactions. They assist HABC in making better informed decisions and improving business practice by providing an accurate record of what has occurred before.
- 1.3 Therefore, **records** are to be:
 - 1.3.1 managed in a consistent and structured manner;
 - 1.3.2 managed in accordance with HABC guidelines and procedures;
 - 1.3.3 stored in a secure manner;
 - 1.3.4 disposed of or archived; and
 - 1.3.5 captured and registered using HABC's recordkeeping system
- 1.4 and **documents** are to be:
 - 1.4.1 created, controlled and managed by HABC authorised officers.

2. Responsibility

- 2.1 The Senior Officer responsible for Records Management is the Operations Manager, Middle East & Asia.
- 2.2 The Administrative Assistant is accountable for providing business areas with assistance in the overall management of records and documents, including:
 - 2.2.1 management of the Records;
 - 2.2.2 maintaining and developing HABC policy and promulgating this to the business areas;
 - 2.2.3 identifying retention and disposal requirements for operational and administrative records;
 - 2.2.4 providing training in records and document management processes.



3. **Record keeping and Document Management System**

- 3.1 HABC's record keeping and document management system assists HABC staff to capture records, protect their integrity and authenticity, provide access through time, dispose of records no longer required by HABC in the conduct of its business, and ensure records of enduring value are retained. It also facilitates the creation, version control, authority of official documents.
- 3.2 HABC's record keeping and document management system is managed by the Operations Manager who provides ongoing support, development and training to business areas, so that HABC's legislative, business and community responsibilities are met.
- 3.3 The Record and Document Management system includes the following:
 - 3.3.1 official records and documents are routinely captured and subjected to the relevant retention and disposal authority;
 - 3.3.2 access to records and documents is managed according to authorised access and appropriate retention times;
 - 3.3.3 records and documents are protected from unauthorised alteration or deletion;
 - 3.3.4 documents are version controlled as required;
 - 3.3.5 there is one authoritative and primary source of information documenting HABC's decisions and actions.
- 3.4 All staff within HABC, who creates, receive and keep records and documents as part of their daily work, should do so in accordance with established policies, procedures and standards. Staff should not undertake disposal of records without authority.
- 3.5 HABC's Record and Document Management system demonstrates that HABC policies and procedures have been adhered to, particularly in respect of application forms and quality processes, examinations, assessment reports or documentation pertaining to accreditation and certification.
- 3.6 The responsible HABC staff for recording and documenting management will ensure that records are identified, managed and disposed, of where appropriate, in a manner designed to ensure the integrity of HABC processes and the confidentiality of the information.



3.7 It is HABC policy to ensure that records are kept for a period of 5 years or otherwise as required by law or the Regulators.

3.8 Reference is also made to the HABC Archiving Policy that can be found in PRO27 in the HABC Procedures Manual.

4. **General**

4.1 All HABC documentation is contained in 3 Manuals:

4.1.1 The HABC Core Manual is available to all HABC Approved Centres, Trainers and Certificated Persons;

4.1.2 The HABC and PIC Policies Manual has a varied distribution list.

4.1.3 The HABC Procedures Manual has a varied distribution list;

4.2 All documentation vital to HABC's PIC Operation will be controlled documents, and will be given a unique reference number. This applies to documents in any of the HABC Manuals.

4.3 All controlled documentation shall contain the following:

4.3.1 a creation date;

4.3.2 a revision date and number;

4.3.3 a unique reference number: and

4.3.4 a title describing the document.

4.4 The Master Index for both the Core Manual and Procedures Manual have a sequential 'numbering' system for ease of reference. These are as follows:

4.4.1 **Core Manual**

4.4.1.1 It is unique document that consolidate all the procedures for all the HABC Centres. Its policies are described in detail in the HABC and PIC Policies Manual.

4.4.2 **Policies Manual**

4.4.2.1 The HABC Policies Manual uses a sequential numbering system but different to that in place with the HABC Core Manual and Procedures Manual;



4.4.2.2 Each procedure/policy is given a sequential 'Policy' number commencing at PMEA001;

4.4.2.3 So for example, the HABC MEA Organisation Chart is given the title: PMEA003;

4.4.2.4 The Master Index to the Policies Manual also confirms the revision number each document.

4.4.3 **Procedures Manual**

4.4.3.1 The HABC Procedures Manual uses a sequential numbering system but different to that in place with the HABC Core Manual;

4.4.3.2 Each procedure/policy is given a sequential 'Procedure' number commencing at PRO1 and ending at PRO38;

4.4.3.3 So for example, The HABC Centre Application Check Sheet is given the title: PRO3;

4.4.3.4 The Master Index to the Procedures Manual also confirms the revision number each document;

4.4.3.5 The Master Index to the Procedures Manual also confirms the 'Distribution' of the documents. For the avoidance of doubt, all of the documents in the Procedures Manual are Core Manual are HABC internal staff (H).

4.5 Documents become records once they become obsolete. It is therefore HABC policy to retain at least one copy of all obsolete documents for auditing purposes. The Operations Manager is responsible for this process.



HABC Internal Audit and Management Review

Document Title: Internal and Audit Management Review		Procedure No.: PME020
Date Issued: 11 February 2011	Last Revised: 22 December 2015	Revision No.: 0.02



HABC INTERNAL AUDIT AND MANAGEMENT REVIEW

1. Internal Audit and Management Review

- 1.1 To ensure that HABC certification is being implemented according to specified requirements, internal audits and management reviews shall be performed at least annually to verify the HABC Quality Systems.
- 1.2 HABC internal audit reports are sufficient in depth and traceability for management review and peer evaluators to be able to make judgment on the effectiveness of the audit. Each aspect of HABC's certification systems are subject to periodic reviews.
- 1.3 HABC's internal audit documentation can be found in the HABC Procedures Manual (PRO 29 and Pro Annex 6).
- 1.4 Internal audits will be carried out from a person within HABC with relevant auditing credentials and will include an evaluation of the effectiveness of HABC's procedures. The internal audit will also look at whether procedures are consistent with ISO 17024 and regulatory accreditation requirements (e.g. DAC). All results will be documented and will be considered by the Management Review panel as documented below.
- 1.5 HABC operates a documented management system which covers the requirements of the International Standard ISO 17024, and ensures the effective application of these requirements.
- 1.6 In order to achieve 1.5 above, HABC has adopted a documented general quality management system addressing the requirements of the International standard ISO 17024.
- 1.7 Management Reviews are chaired by the Audits Manager or International Director. Also present will be HABC's senior management team and HABC Members of Staff. Management review shall include the following (PRO Annex 7):
 - 1.7.1 results of audits;
 - 1.7.2 continuous improvement methods;
 - 1.7.3 examination fairness, validity, reliability and general performance;
 - 1.7.4 feedback from interested parties;
 - 1.7.5 new areas of accreditation;



- 1.7.6 trends in nonconformities;
 - 1.7.7 level of preventive and corrective actions;
 - 1.7.8 follow-up actions;
 - 1.7.9 authorities;
 - 1.7.10 fulfilment of objectives;
 - 1.7.11 results of peer evaluation;
 - 1.7.12 changes that could affect the management system;
 - 1.7.13 improvement processes and procedures;
 - 1.7.14 appeals; and
 - 1.7.15 complaints.
- 1.8 Outputs from the management review shall include the following:
- 1.8.1 Improvement of the management system and its processes;
 - 1.8.2 Defining or redefining of policies, goals and objectives;
 - 1.8.3 Improvement of services and accreditation process in conformity with the relevant standards and expectations of interested parties;
 - 1.8.4 Need for resources; and

A judgment regarding the management system's continuing ability to satisfy the relevant requirements, including ISO/IEC 17024 and the stated policies and objectives.



HABC Policy for Using DAC Accreditation Symbol

Document Title: Policy for Using DAC Accreditation Symbol		Procedure No.: PMEAO21
Date Issued: 11 February 2011	Last Revised: 5 May 2013	Revision No.: 0.02



HABC POLICY FOR USING DAC ACCREDITATION SYMBOL

1. Introduction

- 1.1 Dubai Accreditation Department (DAC) has granted accreditation to Highfield Awarding Body for Compliance Ltd (HABC), Dubai on 12/01/2011 for Person in Charge (PIC) level 2 & 3 certifications and Trainer Certifications for tutors who wish to carry out the PIC training.
- 1.2 Use of the DAC symbol (the Symbol) is restricted and monitored closely by DAC as cases of misuse of the brand will be taken seriously with possible negative implications.
- 1.3 The Symbol is used by HABC to indicate their accreditation status. The Symbol is a combination of the DAC logo in association with HABC's accreditation certificate number underneath the logo.
- 1.4 It is a DAC requirement that this number shall be written underneath the DAC logo whenever the DAC symbol is used.
- 1.5 HABC is authorised by DAC to use the Symbol in accordance with the guidance notes set out in this policy.

2. Display of the Symbol

- 2.1 The Symbol shall be displayed only in the appropriate form, as demonstrated below:

2.1.1 Figure 1



CB-026-PRS

- 2.2 HABC is entitled to enlarge the Symbol by a factor of up to 2, provided that the original proportion between the height and width of the Symbol will not be affected and the Symbol is legible.



- 2.3 The Symbol shall normally have a minimum height of 20mm (excluding DAC Accreditation No.) and not larger than 25mm. The width of the Symbol shall be minimum 30mm and not larger than 35mm.
- 2.4 HABC's Accreditation Certificate Number shall be printed centrally underneath the DAC logo. It should consist of five digits. The first two letters identify the type of Certification Body and the remaining three digits show the serial number.
- 2.5 As an Accredited Certification Body HABC has been designated the letters CB. The designated serial number is 026. The indication for persons is PRS.
- 2.6 HABC's DAC accreditation number is therefore CB-026-PRS.
- 2.7 The Symbol shall not be displayed in a more prominent way than the HABC logo.
- 2.8 The Symbol may be used as a die-stamp or an embossment and either with or without colour.
- 2.9 The Symbol may be reproduced electronically, provided that the requirements of this policy are fully met and no distortion takes place. Furthermore, the electronic version of the symbol should be obtained from DAC.
- 2.10 The shape and dimensions of the Symbol should not in any way be distorted, stretched or changed in perspective including changes to proportion.
- 2.11 The removal/changes to wording/font type/size are not permitted.
- 2.12 Adding borders to the Symbol is not permitted.
3. **Use of The Symbol on HABC Certificates and Reports**
- 3.1 HABC is entitled by DAC to display the Symbol on any reports/certificates that contain PIC results from the accredited methods carried out within the scope of accreditation.
- 3.2 Additionally, HABC may report any non-accredited methods results on reports/certificates with the Symbol contained therein, provided that:
- 3.2.1 the report/certificate contains a minimum of one results from one accredited method;
- 3.2.2 the results are unambiguously identified as non-accredited methods results;



- 3.2.3 the Symbol shall not be used in such a way as to state, imply or suggest that DAC accepts responsibility for the accuracy of certification decisions covered by the scope of HABC's accreditation.
- 3.2.4 the Symbol does not imply any certification/approval by DAC of the products certified.
- 3.2.5 the Symbol shall not be included in reports or certificates containing results solely from non-accredited methods, nor shall such reports or certificates present any reference to HABC's accreditation status.

4. Additional HABC Requirements

- 4.1 HABC Certified Persons should hold a certificate showing the HABC logo in conjunction with the Symbol as set out in 4.1.1 below:

4.1.1 Figure 2



- 4.2 HABC shall audit the use of combined marks (an example of which is at 4.1.1 above) to ensure that certificate holders use such marks in accordance with this policy.
- 4.3 Subject to 4.4 below, HABC shall not use the Symbol alongside an accreditation symbol from another accreditation body.
 - 4.3.1 In the circumstances described in 4.3 above, HABC is authorised to issue an additional certificate containing the accreditation symbol of another accreditation body.
- 4.4 DAC had given HABC special authorisation to use the Symbol alongside the mark of the Government of Dubai and Dubai Municipality Food Control Department on materials/documentation relating to PIC.



4.5 Reference is made in the example at the end of this policy which demonstrates how the said marks will be displayed in conjunction with the Symbol. DAC has confirmed its approval of layout of the Symbol and other accreditation symbols set out in this certificate.

4.5.1 Figure 3



4.6 Use of the Symbol should be restricted to authorised stationary and publicity/marketing materials. Examples include (but not limited to):

4.6.1 Company letterhead, business cards or compliments slips;

4.6.2 HABC websites and emails;

4.6.3 Exhibitions including advertising events promoting PIC; and

4.6.4 Publicity/marketing materials.

4.7 The requirements referred to in 4.6 above are subject to the following further conditions:

4.7.1 The Symbol may only be displayed on stationary if the Symbol is shown with no more prominence than the logo/title of HABC;

4.7.1.1 In the circumstances described in 4.7.1 above, the Symbol should only be displayed once for each DAC accreditation.

4.7.2 The Symbol may not be used on publicity/marketing materials in a way that would mislead about the DAC accreditation status of HABC.

5. Reference to Accreditation

5.1 In the event that HABC wishes to make reference to its DAC accreditation instead of using the Symbol, HABC should use the phrase set out in 5.1.1 below:

5.1.1 "...a DAC accredited certification body No. CB-026-PRS."



5.2 HABC shall use reasonable endeavours to ensure that the wording referred to in 5.1.1 above is used by a client when making reference to the use of HABC being a DAC accredited awarding body.

6. **Suspension/Withdrawal of DAC Accreditation**

6.1 In the case of a temporary suspension by DAC of accreditation for the whole of the accreditation scope, HABC shall immediately cease to issue reports/certificates displaying the Symbol.

6.2 In the case of suspension of part of the scope of accreditation, HABC shall refrain from using the Symbol for the suspended part.

6.2.1 In the circumstances described in 6.2 above, the results of the suspended method(s) shall be clearly identified in the reports/ certificates that contain the Symbol.

6.3 In the case of withdrawal of the accreditation either by DAC or voluntarily upon the request of HABC, HABC shall immediately cease issuing all reports/certificates and any other items on which the Symbol is displayed.

6.4 In the case of suspension/termination/withdrawal of DAC Accreditation for a scope, HABC is required to immediately halt the quotations for work and other items displaying the symbol such as literature, publicity/marketing materials and stationary.

7. **Misuse of the Symbol**

7.1 HABC acknowledges the following:

7.1.1 the Symbol is owned by DAC;

7.1.2 that it is prohibited from producing its own symbol/mark/logo that could be regarded as the same or similar to the Symbol; and

7.1.3 that, in the event of misuse of the Symbol by HABC, DAC reserves the right to issue sanctions in accordance with DAC-REQ-01.



Example:



CB-026-PRS

Person in Charge Certificate

This is to certify that

has successfully completed the
**Person in Charge Level 3 Training
according to the approved scheme
of the Food Control Department
Dubai Municipality**

Date of issue

Certificate number

Expiry date

Company name

Trainer name



Jason Sprenger - Chief Executive
Highfield Awarding Body for Compliance

Awarded by Highfield Awarding Body for Compliance, Dubai, UAE

اعتمدت من قبل هاي فيلد لاعتماد المطابقة، دبي، دولة الإمارات العربية المتحدة

شهادة المشرف الصحي

تشهد بأن

قد اجتاز بنجاح
تدريب المشرف الصحي المستوى ٣
وفقا للمخطط المعتمد لإدارة الرقابة
الغذائية - بلدية دبي

تاريخ الإصدار

رقم الشهادة

تاريخ الإنتهاء

اسم الشركة

اسم المدرب





HABC Customer Service Statement

Document Title: Customer Service Statement		Procedure No.: PMEA022
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01

HABC CUSTOMER SERVICE STATEMENT

1. Introduction

1.1 HABC is dedicated to ensuring that the qualifications offered are both transparent and accessible and delivered to a high standard of excellence second to none. HABC is 100% committed to customer satisfaction. In short, it strives to exceed expectations at each stage within the qualification process.

1.2 HABC recognizes that its customers' requirements may change at different stages of their organisation or progression towards a qualification. HABC staff and associates will receive regulatory updates on customer service good practice and will be instructed to respond appropriately to customers' changing needs at all times. HABC understands that, in certain circumstances, customers may present with individual requirements and will therefore seek to vary its general policy where such variance assists a customer to access its services.

2. Communication

2.1 HABC will maintain regular contact with Centres and candidates by professional, equal, efficient and consistent means.

2.2 HABC will endeavour to answer all telephone calls within three rings.

2.3 HABC will endeavour to acknowledge correspondence within one working day. Should such correspondence require a more detailed response, HABC will endeavour to do so within three working days.

2.4 HABC will publish its price list on a biannual basis. All customers will be given reasonable notice in the event that changes are made to the fee structure.

2.5 Centres and candidates will be given full access to HABC's administration team or subject matter experts to answer queries.

2.6 HABC will from time to time visit Centres to maintain personal contact and as a means to identify potential problems. Centres will also be requested to complete a performance questionnaire on an annual basis. This is called the Assessment Inspection Report (Form AIR 1). Please refer to Annex 42 in the Core Manual for a copy of the form.

2.7 Invigilators/Nominated Tutors will be given the opportunity to fill out an evaluation form at the conclusion of each course/examination. This is not mandatory. This procedure is to encourage feedback from candidates relating to the organisation in the Centres, Nominated Tutor efficiency and any problems encountered within the HABC process. Any problems identified will be addressed



- 2.8 immediately. All candidates will be encouraged to raise any problems with the HABC team at any stage during the qualification process.
- 2.9 HABC has an established Complaints Procedure. All complaints will be dealt with immediately. Please refer to PME049 of the Policies Manual for full details.
- 2.10 A prompt response will be given to Centres and candidates in respect of any query, comment or complaint regulated by HABC.
- 2.11 Candidates and Centres will be kept informed of relevant issues/changes which impact on the qualifications they are undertaking. Customers will also be kept informed of changes in the administration and delivery of HABC examinations by letter, e-mail and a dedicated website.
- 2.12 The HABC Customer Service team will meet on a regular basis to consider ways in which the level of service can be improved. Clients will be kept informed of any developments arising from such meetings which may affect operating procedures.

3. **Approved Centres**

- 3.1 HABC will provide potential applicants with documentation setting out the requirements to be met before Approved Centre status is granted.
- 3.2 HABC will endeavour to acknowledge applications for Approved Centre status within one working day.
- 3.3 Should a pre-approval visit not be required, HABC will endeavour to process Centre Approval applications and notify Centres of the outcome within seven working days following receipt of an application.
- 3.4 HABC will endeavour to carry out a pre-approval visit, where necessary, within ten working days from the date of application.
- 3.5 HABC will provide Centres with the outcome of the pre-approval visit within ten working days of the visit.
- 3.6 Where approval is granted, HABC will provide Centres with a website link to a Core Manual setting out guidance on the standards which they must maintain at all times. The Core Manual will be updated regularly and the most current version can be found by clicking on the following link:
<http://www.highfieldabc.com/Approved/Documents.aspx?category=10>.



- 3.7 All Centres will be presented with monitoring report and documentation and informed of the monitoring processes. Dates for monitoring visits will be arranged in advance and reasonable notice given.
- 3.8 All Centres will continue to be monitored, as appropriate, in order to ensure they continue to adhere to HABC's criteria for Approved Centre status.
- 3.9 HABC will endeavour to dispatch examination papers within two working days of a request and within one working day on payment of an additional charge where an urgent request is made.
- 3.10 HABC will process examination papers on the day of receipt. HABC will endeavour to despatch examination results and certificates within seven working days.
- 3.11 HABC will issue unit certificates upon request from the Centre Contact or direct from the learner.
- 3.12 In order to ensure the integrity of examinations set by HABC, it will continuously review the systems in place for the examination process and modify them if necessary. Candidates and Centres will be kept fully informed in writing of any such changes.
- 3.13 HABC will provide all Approved Centres with annual feedback on its performance against its own customer service targets.

4. **Complaints and Appeals Process**

- 4.1 HABC has put procedures in place to advise potential and Approved Centres and candidates how to raise complaints and appeals. Please refer to the Core Manual for Enquiries and Appeals Procedure in PME047, or PME049 for Complaints. Both of these documents can be found on the HABC website.

5. **Approved Nominated Tutor Process**

- 5.1 HABC requires that the Nominated Tutors used by its Approved Centres have relevant, current qualifications in order to conduct HABC examinations/assessments. To meet this requirement, Centres must have all proposed Nominated Tutors approved by and registered with HABC. Full details of the application process for Approved Nominated Tutors can be found on the guidance notes that accompany Form NT 1. (PME029)
- 5.2 In respect of the application process for approved Nominated Tutor status, HABC will endeavour to:



- 5.2.1 Ensure that candidates and Centres are fully aware of the process involved by means of clear instructions in the administrative process and on the HABC website;
- 5.2.2 Acknowledge receipt of applications for approval within one working day;
- 5.2.3 Process applications and follow up Nominated Tutor references within ten working days; and
- 5.2.4 Inform Centres of HABC's decision within twenty working days of the receipt of the application.

6. **HABC Fees**

- 6.1 A full price guide for all charges and fees relating to HABC can be found on the HABC MEA website and PMEA 060.

7. **Contact Details**

- 7.1 All queries from either candidates or Centres should be made to:
 - 7.1.1 HABC Administration Manager on 00 9714 449 4042 or e-mail at enquiries@Highfieldabc.com



HABC Diversity and Equality

Document Title: Diversity and Equality		Procedure No.: PME023
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0

DIVERSITY AND EQUALITY

1. Introduction

1.1 HABC is fully committed to a policy of equality of opportunity and diversity. It seeks to ensure that access to its qualifications is available to all who can attain the required standard and that its policy and practices are free from discrimination and compliant with current legislation as follows:

- 1.1.1 HABC will strive to ensure that the content of its qualification and its examination/assessment processes are commensurate with the knowledge and skills required to achieve the qualification's aim.
- 1.1.2 HABC will ensure that there are no unnecessary barriers to achievements and work towards producing its documentation in clear, plain language which is free from bias.
- 1.1.3 HABC will guarantee fair assessment of all candidates including those with particular assessment needs and will keep its Reasonable Adjustment procedures under continual review.
- 1.1.4 It will at all times be vigilant in safeguarding the integrity of its qualifications whilst operating its open access policy.
- 1.1.5 HABC will issue its policy on Equality of Opportunity to all its staff and to its Approved Centres who will in turn be required to pass on this information to its candidates. Access to this policy may also be made via its website.
- 1.1.6 HABC's Approved Centres must comply with its Equal Opportunities Policy and communicate this policy to all Centre staff.
- 1.1.7 HABC will maintain a monitoring procedure to ensure that Centres are aware of their responsibilities in providing equality of opportunity and adhere to HABC's guidelines on making Reasonable Adjustments.
- 1.1.8 HABC will ensure that all Approved Centres have an effective procedure for enquiries and complaints, and that Centre staff and candidates are made aware of this procedure.



HABC Centre Approval Information and Guidance Notes

Document Title: Centre Approval Information and Guidance Notes		Procedure No.: PMEA024
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.02



CENTRE APPROVAL INFORMATION AND GUIDANCE NOTES

1. Introduction

- 1.1 Highfield Awarding Body for Compliance (HABC) is an independent organisation providing qualifications to our Approved Centres across the world. HABC has assembled a first-class team of subject matter experts and administrators to administer the qualifications we offer. As such the service we provide to our customers regularly exceeds expectations.
- 1.2 Organisations or individuals wishing to be approved by HABC to offer courses and provide HABC accredited qualifications will first need to apply for Centre Approval. The process for doing this is set out in these guidelines.

2. Centre Approval

- 2.1 Before taking the first steps to becoming an HABC approved Centre, it is recommended that the individual(s) making the application to become an Approved Centre should read the Centre Code of Conduct. This document provides guidelines and policy framework which Centres must adhere to. The Centre Code of Conduct can be found at PMEA025 of the Core Manual.
- 2.2 The first step to becoming an HABC approved Centre is to complete an Application for Centre Approval (Form CA 1) which can be found on the HABC website: <http://www.highfieldabc.ae/Application/Default.aspx>, or as a paper based form found as PMEA026 in this document. Form CA 1 enables HABC to assess whether your Centre fulfils all the criteria for Centre registration.

3. Guidance Notes for Completing Application for Centre Approval

- 3.1 Section 7 of Form CA 1 requires prospective Centres to identify approved criteria from which they will be operating. This will be used by HABC to assess whether a Centre meets its criteria. Prospective Centres are advised to consider the table below when compiling responses to section 7. The 'Supporting Evidence' column gives examples of what HABC are looking for to satisfy its criteria for Centre Approval. Please also provide a tick ✓ in the box provided to indicate that you agree to comply with the criteria.
- 3.2 In order to satisfy HABC registration criteria Centres are asked to provide in Form CA1 a short a paragraph (either in the space provided or on a separate sheet) detailing how the Centre satisfies each of the requested criterion.
- 3.3 **Please also provide documentary evidence in support of each criterion where possible. Where supporting documents are required (e.g. Diversity and Equality policy) please provide a corresponding reference**



number in Form CA 1 for cross-reference purposes. For example, “Please see our Diversity and Equality policy at document reference number 7.5.3.a”. If you are providing further information on an additional sheet, please provide a cross-reference number on both Form CA1 and the additional sheet.

- 3.4 We should stress that the documents and information set out in the ‘Supporting Evidence’ column below are *possible* examples of documents/information that will enable Centres to meet HABC requirements for the corresponding statement set out in the ‘Criteria’ column. They are not however a definitive list and are simply there to assist Centres to understand what types of documents/information HABC are looking for.
- 3.5 For example, Centres may not have a ‘Complaints’ procedure. If this is the case, HABC would require a paragraph setting out how your organisation intends to deal with complaints. This would not have to be a lengthy process.
- 3.6 Please ensure that all responses given in Form CA 1 are those actually adopted by your Centre and not simply a mirror of the examples given by HABC.
- 3.7 Examples of some of the procedures mentioned can be found on the HABC website at www.highfieldabc.com.

Organisational, Staff and Premises Requirements

Please note that the reference numbers provided in this section (in brackets) relate to the corresponding paragraph in Form CA 1.

Criteria	Supporting Evidence
<p>Please confirm that the Centre has in place Quality systems to ensure consistency of standards across all aspects of Centre provision. (7.5.1)</p>	<p>Please provide: Organisation chart (7.5.1.a)</p> <p>Please also provide details about your systems in place for course review and evaluation. (7.5.1.b) This information should make reference to how you assess the quality of all training. By way of course feedback forms, for example. (7.5.1.c)</p> <p>Centres should have in place procedures for candidates to either make a complaint or appeal against a Centre decision. Please confirm the provisions your organisation makes accordingly. Supporting evidence could include:</p>



Criteria	Supporting Evidence
	<ul style="list-style-type: none">• Complaints Procedure (7.5.1.d); and• Appeals Procedure. (7.5.1.e) <p>In all of your responses please confirm how you convey this information to all candidates.</p>
<p>Please confirm that the Centre has administration systems in place, including issuing candidates' results and certificates and the ordering and processing of examination documentation. (7.5.2)</p>	<p>Please provide details of how your organisation will issue examination results and certificates. (7.5.2.a)</p> <p>Please confirm how your organisation will keep records of results. This may be done by providing an example of a form used to do this. (7.5.2.b)</p> <p>Please provide details of how your organisation orders and processes examination documentation. (7.5.2.c)</p> <p>Please make reference to how your Centre maintains the security of assessment materials. This should include details of how examination materials are kept secure during transport to, at and from examination venues. (7.5.2.d)</p>
<p>Please confirm that you have a commitment to health and safety and equality of opportunity that are applicable to all sites which deliver training leading to HABC qualifications. (7.5.3)</p>	<p>Please provide:</p> <ul style="list-style-type: none">• A copy of your Diversity and Equality Policy; (7.5.3.a)• Records of H&S policies; (7.5.3.b)• Details of equipment maintenance; (7.5.3.c)• Details of how you make provision for candidates with a disability; (7.5.3.d) and• Details of how you ensure your systems are applicable to all sites and individuals used for the delivery of HABC qualifications. (7.5.3.e)
<p>Please confirm that you will inform HABC of any changes which may affect the Centre's ability to meet approved Centre criteria. (7.5.4)</p>	<p>Please confirm how you intend to report any such changes to HABC. (7.5.4.a)</p>

--	--

Criteria	Supporting Evidence
	Possible ways could be keeping an open dialogue with HABC and keeping records accordingly. (7.5.4.a)
You agree that there will be effective communication between training and administration staff. (7.5.5)	Please provide details how your Centre will monitor effective communication between training and administration staff. Possible ways could include: <ul style="list-style-type: none"> • Evidence of team meetings; and • Evidence of the support you will give those who deliver the training leading to the HABC qualifications. (7.5.5.a)
Please confirm that your administration staff fully understand their duties, responsibilities and accountabilities, with their roles clearly defined and allocated. (7.5.6)	Please provide: <ul style="list-style-type: none"> • Details of staff development activities (e.g. assessment days, information bulletins) (7.5.6.a)
Please confirm that your trainers identified are competent to deliver training leading to HABC qualifications. (7.5.7)	Please provide: <ul style="list-style-type: none"> • Acknowledgement of the Centre Contact responsibilities regarding Nominated Tutor applications. (7.5.7.a)
Please confirm that your examination accommodation will be appropriate and fit to deliver qualifications and that each facility will allow access for all students. (7.5.8)	Please provide: <ul style="list-style-type: none"> • Details of how you ensure venues are of an appropriate standard. This could be way of a check-list detailing the required standards. (7.5.8.a)

Administration Requirements

Criteria	Supporting Evidence
Please confirm that for purposes of compliance, records of candidates' details and achievements will be kept fully up to date and be stored securely. (7.6.1)	Please provide details of how your organisation will: <ul style="list-style-type: none"> • Register candidates' details and achievements; (7.6.1.a) and • Ensure that candidates' results are up to date and stored securely. (7.6.1.b) <p>Your response should make reference to how your</p>

--

Criteria	Supporting Evidence
	organisation accurately records all candidates' details and achievements which may make reference to a form or procedure used to do this. Your response should also make reference of your systems in place to ensure that details and achievements are stored securely.
Please confirm that you have systems in place to ensure that registration and certification information is accurate and correct. (7.6.2)	Please provide details of your systems in place to ensure that registration and certification information is accurate and correct. Again, a possible source of evidence could be regularly auditing candidates' registration forms. (7.6.2.a)
Please confirm that you have systems in place to ensure that the person taking the examination is the correct person. (7.6.3)	Please provide details of your systems in place to ensure that the identity of candidates is checked. Please note: HABC requires candidates to provide photographic identification prior to taking an examination. (7.6.3.a)

Review Requirements

Criteria	Supporting Evidence
Please confirm that you have in place systems for reviewing and improving programmes that have been put in place by the Centre. (7.7.1)	Please give details of systems in place for reviewing and improving programmes that have been put in place by the Centre. For example the use of evaluation forms. (7.7.1.a)
Please confirm that actions identified by HABC and Regulatory Monitors will be communicated to staff and corrective measures taken. (7.7.2)	Please give details of the systems in place to confirm that actions identified by HABC and Regulatory Monitors will be communicated to staff and corrective measures taken. This could include ensuring that an instruction form is distributed to the team and/or that an action plan/minutes of meeting is taken and retained by the Centre. (7.7.2.a)



4. **Nominated Tutors**

- 4.1 Additionally prospective Centres are required to complete a Nominated Tutor Form (NT 1) detailing the Nominated Tutors who you are seeking to run the courses leading to the HABC accredited qualifications. All Nominated Tutors must be qualified in the relevant subject matter and have qualifications and/or experience in training. Guidance notes detailing how to complete Form NT 1, and the form itself can be found on the website and in PME029 and PME030 respectively.

5. **How it Works Post-Approval**

- 5.1 Once your application for Centre Approval has been successful, you may book on-demand examination materials. At least three days' notice is required for examination material. A summary of examinations offered and details as to availability, rates per candidate, booking deadlines and examination dates appears on the HABC website as can further details regarding the examination process.
- 5.2 In the event of any Reasonable Adjustments being required by candidates, Centres may be required to apply to HABC in writing (dependent on the adjustment required) at the time of booking the examination using Form RA 2 available on the HABC website and in PME035. Centres are advised to refer to HABC's Reasonable Adjustments Policy found in PME032 in the Core Manual for further details.
- 5.3 All Centres are required to conduct the examination in accordance with the instructions enclosed with the examination materials. For further details reference should be made to the Examination and Invigilator Regulations made available to all Approved Centres. (PME040)
- 5.4 All components of the examination are marked and moderated by HABC. Any application for Special Consideration must be received by HABC on Form SC 1 (PME037) no more than five days following the examination. For further details, reference should be made to the Special Consideration Policy made available to all Approved Centres. (PME036)
- 5.5 Any enquiry about a result or appeal should be addressed in the first instance to the Operations Manager. For further details reference should be made to the Enquiries and Appeals Procedure made available to all Approved Centres in PME047 of the Policies Manual.



6. Examination Accommodation

6.1 HABC requires all Approved Centres to provide suitable training facilities for courses. Centres should satisfy the following requirements:

6.1.1 The examination room must be quiet and in an undisturbed location. It should have suitable lighting, heating and ventilation.

6.1.2 Only candidates and persons properly required for the examination are allowed in the examination room, either before, during or after the examination.

6.1.3 Display materials that may assist the candidates should be removed.

6.1.4 An 'Examination in Progress' sign should be placed on all access doors to the examination room.

6.1.5 A board/flip chart detailing the Approved HABC Centre number, the Nominated Tutor number of the person who delivered the training, start and finish times and examination paper details should be visible to all candidates.

6.1.6 A clock should be visible to all candidates.

6.1.7 Desks/tables should be positioned suitably to avoid malpractice.

7. Registration Fee

7.1 A one-off Centre Registration Fee is payable to register as an Approved HABC Centre.

7.2 There is an additional nominal fee for each qualification you register for.

7.3 There are no charges for registering Nominated Tutors.

7.4 Further details of all applicable fees can be found on the HABC website.

8. Conduct of Centres

8.1 The Centre Contact remains solely responsible for the management of HABC qualifications and the conduct of examinations notwithstanding she/he may delegate duties to other personnel. Centres may be de-registered if they contravene or in any way fail to operate in accordance with HABC requirements. The HABC Centre Code of Conduct can be found on the HABC website or at PMEAO25 of the Policies Manual.



9. **Submission of Form CA 1**

9.1 The Centre Contact should sign Form CA1 to confirm that she/he has read and understood the responsibilities that are required by HABC. Form CA 1, supporting document and relevant fee should be returned to:

10. HABC MEA
Centre Approval Department

11. DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates

11.1 Your application will usually be considered within seven working days and if successful, you will be allocated a Centre number and full details of examination procedures will be sent together with a link to download a copy of the HABC Core Manual.



HABC Centre Code of Conduct

Document Title: Centre Code of Conduct		Procedure No.: PMEA025
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.01



CENTRE CODE OF CONDUCT

1. Introduction

- 1.1 All Centres should read and adhere to this Centre Code of Conduct at all times. This Centre Code of Conduct lists the responsibilities the Centre Contact should involve him/herself with.

2. The Centre Contact Must:

- 2.1 Be the officially recognized point of contact at the Centre. The Centre Contact is responsible for the following:

- 1.1 Ordering of examination materials
- 2.1 Ensuring examination materials are kept in secure and confidential conditions until the specified time and date of the examination
- 3.1 Return of completed or excess examination materials
- 4.1 Ensuring that there are systems in place to ensure that all candidates who sit examinations are indeed who they say they are
- 5.1 Ensuring the premises used for training and examinations are appropriate, having adequate heating, lighting and ventilation, protection from strong sunlight, adequate desks, appropriate teaching aids and a clock
- 6.1 Ensuring Invigilators/Assessors are sufficiently trained to follow examination guidelines
- 7.1 Ensuring cases of alleged malpractice or plagiarism are dealt with in accordance with HABC regulations (Please refer to PMEA046 and PMEA050)
- 8.1 Ensuring that every effort is made by the Centre to act in accordance with HABC Diversity and Equality Policy (Please refer to PMEA023 for full details)
- 9.1 Ensuring that Enquiries, Appeals and Complaints are dealt with in accordance with HABC policies and procedures. (Please refer to PMEA047 and PMEA049 respectively)
- 10.1 Ensure Reasonable Adjustments and Special Consideration policies are adhered to. (Please refer to PMEA032 and PMEA036 respectively)



- 11.1 Inform HABC in writing of any changes in the circumstances of the Centre, Centre Contact or Nominated Tutors (See PMEA038, Form CAIU 1)
- 12.1 Archive the following documents in perpetuity: Appeals and Enquiries, Complaints, Malpractice, Plagiarism, Reasonable Adjustments, Special Consideration and Auditing documents.
- 13.1 The Centre must also:
 - 2.1.13.1 Distribute certificates to delegates without delay with a record kept of those that are issued;
 - 2.1.13.2 Inform HABC of any missing or damaged certificates; and
 - 2.1.13.3 Hold securely any unclaimed certificates for a period of 12 months. After this period certificates must be returned to HABC.
- 3. It is a condition of the Centre Approval status that all Centres adhere to all HABC policies and procedures.
- 4. Please Note: HABC will conduct an on-site visit at any point. This is to ensure that agreed procedures and quality assurance measures are being followed.



HABC Application for Centre Approval (Form CA 1)

Document Title: Application for Centre Approval (Form CA 1)		Procedure No.: PME026
Date Issued: 11 February 2011	Last Revised: 6 January 2012	Revision No.: 0.03



APPLICATION FOR CENTRE APPROVAL (FORM CA 1)

PLEASE NOTE: It is strongly advised that before submitting Form CA 1, references are made to HABC documents: Centre Approval Information and Guidance Notes (PMEA024) and Centre Code of Conduct (PMEA025). These documents will assist Centres to complete the application and provide guidance on which supporting documents should accompany this Form CA 1.

In cases where a Centre is a partnership arrangement between organisations, all organisations will need to submit Form CA 1 ensuring there is **one** agreed Centre Contact for all organisations.

1. Organisation Details

1.1 Organisation Name:

1.2 Organisation Address Details:

1.2.1 Address:

1.3

1.3.1 Postcode:

1.3.2 Telephone:

1.3.3 Fax:

1.3.4 E-mail:.....

1.4 Is this a Partnership Agreement? (i.e. Is this application made together with another training organisation?) Yes No

1.5 If yes, please provide the name of the partner organisation:.....

1.6

2. Individual Details

2.1 Name of Centre Contact (who will be accountable to HABC for all Quality Assurance and management of HABC qualifications)

2.2

2.3 Position (s):

2.4 Telephone:

2.5 E-mail:

--

3. **Qualifications**

3.1 Please insert a ✓ in the appropriate box(es) to indicate the qualification(s) for which you will be seeking approval.

3.1.1 **Food Safety Qualifications**

- Level 1 Award in Food Safety in Catering
- Level 1 Award in Food Safety for Manufacturing
- Level 1 Award in Food Safety for Retail
- Level 2 Award in Food Safety in Catering
- Level 2 Award in Food Safety for Manufacturing
- Level 2 Award in Food Safety for Retail
- Level 3 Award in Supervising Food Safety in Catering
- Level 3 Award in Food Safety Supervision for Manufacturing
- Level 3 Award in Food Safety Supervision for Retail
- Level 4 Award in Managing Food Safety in Catering
- Level 4 Award in Food Safety Management for Manufacturing

3.1.2 **Health and Safety Qualifications**

- Level 1 Award in Health and Safety in the Workplace
- Level 1 Award in Health and Safety for Catering
- Level 1 Award in Health and Safety for Manufacturing
- Level 1 Award in Health and Safety for Retail
- Level 1 Award in Health and Safety for Carers
- Level 2 Award in Health and Safety in the Workplace
- Level 3 Award in Health and Safety in the Workplace
- Level 4 Award in Health and Safety in the Workplace

3.1.3 **Manual Handling**

- Level 2 Award in Safe Moving and Handling
- Level 2 Award in Moving People Safely



3.1.4 **Fire Safety**

- Level 1 Award in Fire Safety Awareness
- Level 2 Award in Fire Safety

3.1.5 **First Aid Qualifications**

- Level 2 Award in Emergency First Aid at Work (EFAW)
- First Aid at Work (3-day)
- Level 2 Award in Paediatric First Aid (2-day)
- Level 2 Award in Cardiopulmonary Resuscitation and Automated External Defibrillation

3.1.6 **HACCP Qualifications**

- Level 2 Award in HACCP for Catering
- Level 2 Award in HACCP for Manufacturing
- Level 3 Award in Supervising HACCP for Catering
- Level 3 Award in HACCP for Food Manufacturing

3.1.7 **Effective Auditing**

- Level 3 Award in Effective Auditing and Inspection Skills

3.1.8 **COSHH**

- Level 2 Award in the Care of Substances Hazardous to Health

3.1.9 **Substance Misuse**

- Level 1 Award in Substance Misuse Awareness

3.1.10 **Conflict Management**

- Level 2 Award in Conflict Management

3.1.11 **Security**

- Level 2 Award in Door Supervision
- Level 2 Award in CCTV Operations
- Level 2 Award in Security Guarding

- Level 3 Certificate in Close Protection

3.1.12 Teaching

- Level 3 Award in the Delivery of Training
- Level 3 Award in Preparing to Teach in the Lifelong Learning Sector
- Level 4 Award in Preparing to Teach in the Lifelong Learning Sector
- Level 3 Award in the Delivery of Conflict Management Training
- Level 3 Award for Deliverers of Physical Intervention Training

3.2 Please specify if your organisation is offering these qualifications with other Awarding Organisations. If so, please identify the qualification titles, Awarding Organisation name and Centre number.

.....

.....

4. Training Materials

4.1 HABC recommends Highfield.co.uk Ltd training materials for HABC qualifications. Please note that this is not mandatory and Centres can use training materials produced by other organisations. Please state which training materials will be used:

4.2

4.3

4.4

5. Centre Approval

5.1 Has your organisation ever had an application for Centre Approval withheld or withdrawn? If so, please give full details including relevant dates.

.....

.....

--

6. Quality Systems

6.1 Do you have any formal quality systems in place? If applicable please state the organisation and quality assurance initiatives concerned and include the date of your last site inspection. Please note that this is not a mandatory requirement.

6.2

6.3

7. Approved Centre Status Requirements

7.1 Please identify the required approved criteria as set out below. Please refer to the guidance note at PMEAO24, section 3.1 for further assistance on what supporting evidence is required by HABC.

7.2 Please provide a tick ✓ in the box provided in the 'Criteria' column to indicate that you agree to comply with the criterion. Any box not ticked in the 'Criteria' column may result in your application being rejected.

7.3 Please provide a tick ✓ in the box provided in the 'Supporting Evidence' column to indicate that you have included the required information and/or supporting documentation. Please do not tick a box in the 'Supporting Evidence' column unless you are providing such supporting evidence, (e.g. by means of a policy or procedure or simply a paragraph setting out the required details).

7.4 Please also provide documentary evidence in support of each criterion where possible. Where supporting documents are required, (e.g. Diversity and Equality policy), please provide a corresponding reference number on this Form CA 1 for cross-reference purposes. For example, "Please see our Diversity and Equality policy at document reference number 7.5.3.a". If you are providing further information on an additional sheet, please provide a cross-reference number on both this Form CA1 and on the additional sheet.

7.5 Organisational, Staff and Premises Requirements

Criteria	Supporting Evidence
7.5.1 Please confirm that the Centre has in place Quality systems to ensure consistency of standards across all aspects of Centre provision. <input type="checkbox"/>	To comply with this criterion please provide: 7.5.1.a Organisation chart <input type="checkbox"/> 7.5.1.b Details about your systems in place for course review and evaluation <input type="checkbox"/> 7.5.1.c Feedback Forms <input type="checkbox"/>



	<p>7.5.1.d Complaints Procedure <input type="checkbox"/></p> <p>7.5.1.e Appeals Procedure <input type="checkbox"/></p>
<p>7.5.2 Please confirm that the Centre has administration systems in place, including issuing candidates' results and certificates and the ordering and processing of examination documentation. <input type="checkbox"/></p>	<p>To comply with this criterion please provide details of how your organisation:</p> <p>7.5.2.a Will issue examination results and certificates; <input type="checkbox"/></p> <p>7.5.2.b Keeps records of results; <input type="checkbox"/></p> <p>7.5.2.c Orders and processes examination documentation; and <input type="checkbox"/></p> <p>7.5.2.d Maintains the security of assessment materials. <input type="checkbox"/></p>
<p>7.5.3 Please confirm that you have a commitment to health and safety and equality of opportunity that are applicable to all sites delivering training leading to HABC qualifications. <input type="checkbox"/></p>	<p>To comply with this criterion please provide:</p> <p>7.5.3.a A copy of your Diversity and Equality Policy; <input type="checkbox"/></p> <p>7.5.3.b Records of H&S policies; <input type="checkbox"/></p> <p>7.5.3.c Details of equipment maintenance; <input type="checkbox"/></p> <p>7.5.3.d Details of how you make provision for candidates with a disability; and <input type="checkbox"/></p> <p>7.5.3.e Details of how you ensure your systems are applicable to all sites and individuals used for the delivery of HABC qualifications. <input type="checkbox"/></p>
<p>7.5.4 Please confirm that you will inform HABC of any changes which may affect the Centre's ability to meet approved Centre criteria. <input type="checkbox"/></p>	<p>7.5.4.a To comply with this criterion please provide details of how your organisation intends to keep HABC informed of any such changes. <input type="checkbox"/></p>
<p>7.5.5 You agree that there will be effective communication between training and administration staff. <input type="checkbox"/></p>	<p>7.5.5.a To comply with this criterion please provide details how your Centre will monitor effective communication between training and administration staff. <input type="checkbox"/></p>
<p>7.5.6 Please confirm that your administration staff fully understand their duties, responsibilities and accountabilities, with their roles clearly defined and allocated. <input type="checkbox"/></p>	<p>To comply with this criterion please provide:</p> <p>7.5.6.a Details of staff development activities. <input type="checkbox"/></p>

--	--

<p>7.5.7 Please confirm that your trainers identified are competent to deliver training leading to HABC qualifications. <input type="checkbox"/></p>	<p>To comply with this criterion please agree that:</p> <p>7.5.7.a The Centre Contact is solely responsible for ensuring that Nominated Tutor application forms are completed in full and also responsible for the information contained within. <input type="checkbox"/></p>
<p>7.5.8 Please confirm that your examination accommodation will be appropriate and fit to deliver qualifications and that each facility will allow access for all students. <input type="checkbox"/></p>	<p>7.5.8.a To comply with this criterion please provide details of how you ensure venues are of an appropriate standard. (This could be way of a check list detailing the required standards). <input type="checkbox"/></p>

7.6 Administration Requirements

Criteria	Supporting Evidence
<p>7.6.1 Please confirm that for purposes of compliance, records of candidates' details and achievements will be kept fully up to date and be stored securely. <input type="checkbox"/></p>	<p>To comply with this criterion please provide details of how your organisation will:</p> <p>7.6.1.a Register candidates' details and achievements; and <input type="checkbox"/></p> <p>7.6.1.b Ensure that candidates' results are up to date and stored securely. <input type="checkbox"/></p>
<p>7.6.2 Please confirm that you have systems in place to ensure that registration and certification information is accurate and correct. <input type="checkbox"/></p>	<p>7.6.2.a To comply with this criterion please provide details of how your systems in place ensure that registration and certification information is accurate and correct. <input type="checkbox"/></p>
<p>7.6.3 Please confirm that you have systems in place to verify and check the photographic identification provided by all candidates undertaking examinations. <input type="checkbox"/></p>	<p>7.6.3.a To comply with this criterion please provide details of how the Centre will ensure a third party individual verifies and checks the photographic identification provided by all candidates undertaking examinations. <input type="checkbox"/></p>

7.7 Review Requirements

Criteria	Supporting Evidence
<p>7.7.1 Please confirm that you have in place systems for reviewing and improving programmes that have been put in place by the Centre. <input type="checkbox"/></p>	<p>7.7.1.a To comply with this criterion please give details of your organisation's systems in place for reviewing and improving programmes that have been put in place by the Centre (for example the use of evaluation forms).</p>
<p>7.7.2 Please confirm that actions identified by HABC and Regulatory Monitors will be</p>	<p>7.7.2.a To comply with this criterion please give details of your systems in place to confirm that actions identified</p>

--

communicated to staff and corrective measures taken. <input type="checkbox"/>	by HABC and Regulatory Monitors will be communicated to staff and corrective measures taken. <input type="checkbox"/>
---	---

8. Declaration

- 8.1 I confirm that the Centre will provide HABC or Regulatory Authorities with access to premises, people or records, and will not hinder or impede the individuals making the visit.
- 8.2 I confirm that I have read, understood and will adhere to the conditions listed within the Centre Code of Conduct referred to in Annex 8 of the Core manual.
- 8.3 I confirm that candidate access to buildings will be permitted for the purposes of examinations.
- 8.4 I declare that the contents set out in this document are true to the best of my knowledge and belief.
- 8.5 I agree that the Centre Contact is solely responsible for ensuring that Nominated Tutor application forms are completed in full and also responsible for the information contained within.
- 8.6 I confirm that HABC will be informed of any changes to Centre or Nominated Tutor details.
- 8.7 I confirm that I have the required authority and permission rights to fulfil the role of Centre Contact.
- 8.8 I agree that the Centre Contact is solely responsible for ensuring that all HABC policies and procedures are adhered to and that our Centre status could be revoked if an investigation reveals that this is not the case.

Position:

Signature:

Date:

Please return to: Centre Approval Department
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai

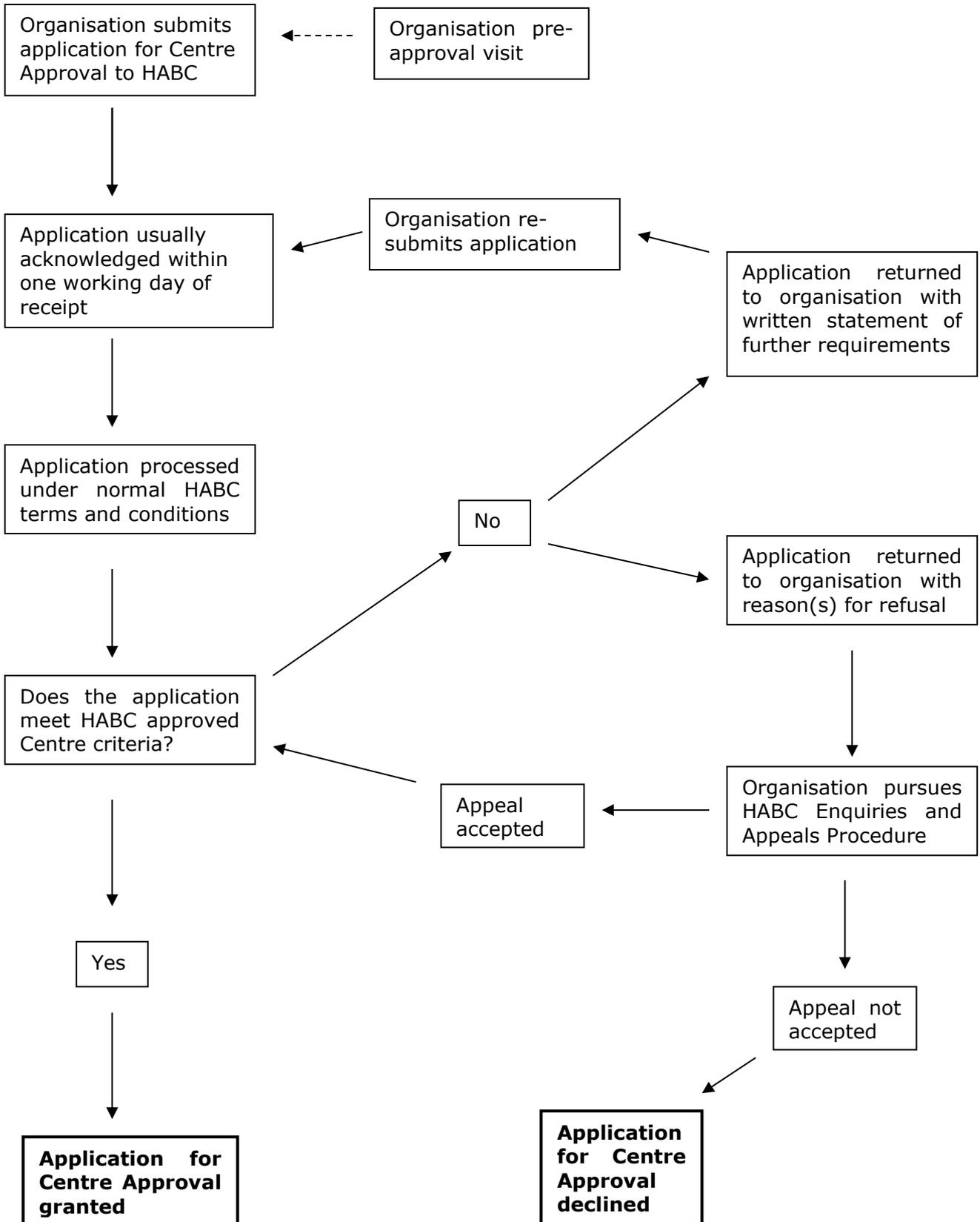


HABC Stages in Centre Approval Application Process

Document Title: Stages in Centre Approval Application Process		Procedure No.: PMEA027
Date Issued: 11 February 2011	Last Revised	Revision No.: 0.0



STAGES IN CENTRE APPROVAL APPLICATION PROCESS





HABC Nominated Tutor Code of Conduct

Document Title: Nominated Tutor Code of Conduct		Procedure No.: PMEA028
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01



NOMINATED TUTOR CODE OF CONDUCT

1. Introduction

- 1.1 Please ensure you read the Nominated Tutor Code of Conduct (PMEA028) before completing the Application for Nominated Tutor (Form NT 1 – PME030). The Nominated Tutor Code of Conduct outlines all the responsibilities of the Tutor.

2. The Nominated Tutor Must:

- 2.1 Ensure that premises and facilities used for training are fit for purpose. There should be adequate heating, lighting and ventilation, reasonably comfortable chairs, adequate desks, appropriate teaching aids including visual equipment and, if required, a clock.
- 2.2 Develop training courses in relation to the HABC syllabus, including the use of teaching methods specific to the needs of different groups of candidates, taking into consideration any special needs.
- 2.3 Ensure appropriate teaching methods are used and adequate breaks for rest and catering should be appropriately scheduled.
- 2.4 Ensure that every effort is made to act in accordance with HABC Diversity and Equality Policy. Please refer to PME023 for full details.
- 2.5 Ensure subject matter is relevant and up to date.
- 2.6 Return completed answer sheets to HABC in a secure sealed envelope in accordance with the Examination and Invigilation Regulations. (Please refer to PME040)
- 2.7 Ensure that all candidates on the training course that take an examination are indeed who they say they are.
- 2.8 Please Note: HABC will conduct an on-site visit at any point. This is to ensure that agreed procedures and quality assurance measures are being followed.



HABC Guidance Notes for Completing Form for Nominated Tutor (Form NT 1)

Document Title: Guidance Notes for Completing form for Nominated Tutor (Form NT 1)		Procedure No.: PME029
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01



GUIDANCE NOTES FOR COMPLETING APPLICATION FORM FOR NOMINATED TUTOR (Form NT 1)

1. Guidance Notes

1.1 The following guidance notes have been created as a quick reference point when completing the application form to become a Nominated Tutor. Centres are advised to complete Form NT 1 in accordance with the following table:

Section 1	Complete as appropriate
Section 2	Please indicate qualifications you wish to deliver by ticking the appropriate boxes
Section 3	Complete as appropriate providing as much detail as possible.
Section 4	References must be supplied
Section 5	The application must be signed by the Centre Contact, who will take full responsibility for the accuracy of the information provided.

1.2. Each application for a Nominated Tutor will require a separate NT 1 Form to be completed. NT 1 Forms can be submitted with Form CA 1, i.e. the initial Centre application, or at any point after the Centre has been approved. The application process will remain constant regardless of when the application is made. Please refer to PMEAO29 of the Policies Manual for a brief on the stages in the application process.

1.3. Please Note: Failure to fully complete Form NT 1 may lead to a delay in processing the application.

1.4. Please note: Centres will only be permitted to use Nominated Tutors who have been approved by HABC. Failure to adhere to this condition could render your qualification invalid.



HABC Application for Nominated Tutor (Form NT 1)

Document Title: Application for Nominated Tutor (Form NT 1)		Procedure No.: PMEA030
Date Issued: 11 February 2011	Last Revised: 6 January 2012	Revision No.: 0.03



APPLICATION FOR NOMINATED TUTOR (FORM NT 1)

Please Note: Any individual wishing to apply for Nominated Tutor status **must** complete form NT 1 in full. If multiple applications are being made, separate forms must be completed for each individual. If you do not have the required qualifications/experience to achieve the status of Nominated Tutor you will be asked to provide additional information.

Only proposed tutors **NOT** already registered as a HABC Nominated Tutor need to complete this Form NT1.

1. Application Form

1.2. Surname:

1.3. Forename:

1.4. Title:

1.5. Nominated Tutor E-mail Address:

1.6. Nominated Tutor Telephone No:

1.7. Name and address of Approved Centre(s) or organisation(s) for whom you will be working:

.....
.....
.....

2. Please insert a ✓ in the appropriate box(es) to indicate the Qualification(s) for which you wish to deliver.

2.2. Food Safety Qualifications

- Level 1 Award in Food Safety in Catering
- Level 1 Award in Food Safety for Manufacturing
- Level 1 Award in Food Safety for Retail
- Level 2 Award in Food Safety in Catering
- Level 2 Award in Food Safety for Manufacturing
- Level 2 Award in Food Safety for Retail
- Level 3 Award in Supervising Food Safety in Catering

--

- Level 3 Award in Food Safety Supervision for Manufacturing
- Level 3 Award in Food Safety Supervision for Retail
- Level 4 Award in Managing Food Safety in Catering
- Level 4 Award in Food Safety Management for Manufacturing

2.2 Health and Safety Qualifications

- Level 1 Award in Health and Safety in the Workplace
- Level 1 Award in Health and Safety for Catering
- Level 1 Award in Health and Safety for Manufacturing
- Level 1 Award in Health and Safety for Retail
- Level 1 Award in Health and Safety for Carers
- Level 2 Award in Health and Safety in the Workplace
- Level 3 Award in Health and Safety in the Workplace
- Level 4 Award in Health and Safety in the Workplace

2.3 Manual Handling

- Level 2 Award in Safe Moving and Handling
- Level 2 Award in Moving People Safely

2.4 Fire Safety

- Level 1 Award in Fire Safety Awareness
- Level 2 Award in Fire Safety

2.5 First Aid Qualifications

- Level 2 Award in Emergency First Aid at Work (EFAW)
- First Aid at Work (3-day)
- Level 2 Award in Paediatric First Aid (2-day)
- Level 2 Award in Cardiopulmonary Resuscitation and Automated External Defibrillation



2.6 HACCP Qualifications

- Level 2 Award in HACCP for Catering
- Level 2 Award in HACCP for Manufacturing
- Level 3 Award in Supervising HACCP for Catering
- Level 3 Award in HACCP for Food Manufacturing

2.7 Effective Auditing

- Level 3 Award in Effective Auditing and Inspection Skills

2.8 COSHH

- Level 2 Award in the Care of Substances Hazardous to Health

2.9 Substance Misuse

- Level 1 Award in Substance Misuse Awareness

2.10 Conflict Management

- Level 2 Award in Conflict Management

2.11 Security

- Level 2 Award in Door Supervision
- Level 2 Award in CCTV Operations
- Level 2 Award in Security Guarding
- Level 3 Certificate in Close Protection

2.12 Teaching

- Level 3 Award in the Delivery of Training
- Level 3 Award in Preparing to Teach in the Lifelong Learning Sector
- Level 4 Award in Preparing to Teach in the Lifelong Learning Sector
- Level 3 Award in the Delivery of Conflict Management Training
- Level 3 Award for Deliverers of Physical Intervention Training

--

3 Training/Teaching Qualifications/Experience

3.1 Detail here any training or teaching qualifications you have:

Education/Training Institution Attended	Qualification Title	Certificate Issuing Body	Date Obtained	Grade

3.2 Detail here any training experience you have. You will normally need to have undertaken at least 30 hours of classroom-based training at level 2 or above. **Only complete if you do not have requisite training qualifications listed in 3.1 above.**

Company/Organisation	Course Title	Date(s) of Course

--

4 Subject Professional Qualifications

4.1 List any qualifications you hold relating to your subject area:

Qualification Title	Certificate Issuing Body or Company	Date Obtained

4.2 Experience of training in your subject area. Give here any experience you have had in training candidates in your subject area:

4.2.1 Course title:

4.2.2 Number of courses provided: less than 5 greater than 5

4.2.3 Course title:

4.2.4 Number of courses provided: less than 5 greater than 5

4.2.5 Course title:

4.2.6 Number of courses provided: less than 5 greater than 5

4.2.7 Course title:

4.2.8 Number of courses provided: less than 5 greater than 5

4.2.9 Other relevant training experience:

.....
.....



5 References

5.1 Please give the name and address of two referees who can attest to your suitability to be a Nominated Tutor in the subject(s) applied for.

5.2 Reference 1:

5.2.1 Name.....

5.2.2 Title (Mr, Mrs, Ms, etc):

5.2.3 Position in company:

5.2.4 Address:
.....
.....
.....

5.2.5 Tel No:

5.2.6 Fax No:

5.2.7 E-mail:

5.3 Reference 2:

5.3.1 Name.....

5.3.2 Title (Mr, Mrs, Ms, etc):

5.3.3 Position in company:

5.3.4 Address:
.....
.....
.....

5.3.5 Tel No:

5.3.6 Fax No:

5.3.7 E-mail:

6 Declaration

6.1 I confirm to the best of my knowledge the statements made in this application are correct.

SIGNATURE (of applicant): Date:

SIGNATURE..... Date:
(Head of Centre/Organisation or senior member of staff if applicable)

Please submit via the Centre Contact to:

HABC Nominated Tutor Applications
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates

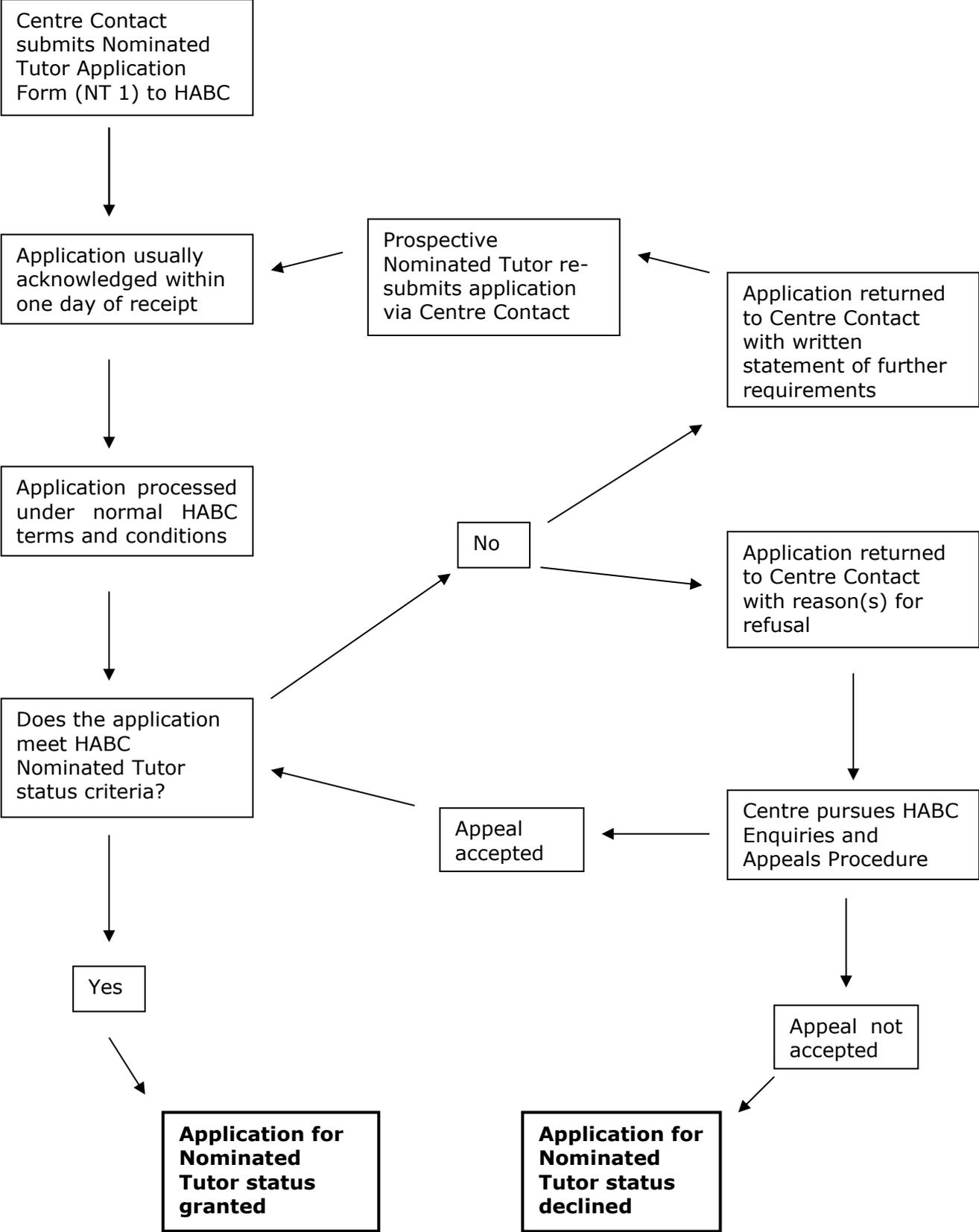


HABC Stages in the Application Process for Nominated Tutor Application

Document Title: Stages in the Application Process for Nominated Tutor Application	Procedure No.: PMEA031	
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0



STAGES IN THE APPLICATION PROCESS FOR NOMINATED TUTOR APPLICATION





HABC Reasonable Adjustments Policy

Document Title: Reasonable Adjustments Policy		Procedure No.: PMEA032
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.01



REASONABLE ADJUSTMENTS POLICY

1 Introduction

- 1.1** Reasonable Adjustments may be granted in circumstances which address and help to reduce the effect of a disability or difficulty which would substantially disadvantage a candidate during an examination or assessment situation.

2 Identification of Candidates' Needs

- 2.1** Any adjustment should be based on the individual candidate's need to access the assessment. Centres have a responsibility to provide effective procedures for the identification of candidates' needs which comply with the requirements of Disability and Discrimination Legislation.

- 2.1.1** Centres should:

- 2.1.1.1** Identify more candidates having or likely to have difficulties accessing assessment.

- 2.1.1.2** Advise candidates to make any adjustment needs known to Centre staff at the earliest opportunity.

- 2.1.1.3** Centre staff should decide in conjunction with the candidate what adjustment may be required.

- 2.1.1.4** When identifying the adjustment(s) necessary, the Centre should take into consideration the candidate's normal way of working and how previous assessment has been made during teaching, as well as the assessment requirements of the qualification.

- 2.1.2** Once the appropriate adjustment has been identified, it should be documented for audit purposes.

- 2.1.3** Any application for Reasonable Adjustment must be supported by evidence which is valid, sufficient and reliable.

- 2.1.4** If the Reasonable Adjustment is permitted at the discretion of the Centre, Form RA 1 must be completed and submitted to HABC at the end of each quarter. Form RA 1 can be found at PME034 of the Policies Manual.

- 2.1.5** A candidate with a Statement of Special Educational Needs is not automatically eligible for Reasonable Adjustment. The candidate's needs would be identified to ensure that the demands of the qualifications are taken into account.



3 Categories of Need

3.1 The following types of Reasonable Adjustments are relevant to the categories of need listed below:

3.2 Physical Environment

The provision of:

3.2.1 A reader, writer or interpreter according to individual need

3.2.2 Suitable mechanical or electrical aids

3.2.3 An alternatively formatted question paper, e.g. with enlarged print, or different paper colour. Extra 25% assessment time allowance

3.3 Visual Impairment

The provision of:

3.3.1 A reader, writer or interpreter according to individual need

3.3.2 Suitable mechanical or electrical aids

3.3.3 An alternatively formatted question paper, e.g. with enlarged print, or different paper colour. Extra 25% assessment time allowance

3.4 Hearing Impairment

The provision of:

3.4.1 A communicator and/or interpreter

3.4.2 Appropriate mechanical or electrical devices

3.4.3 Any additional aids as recommended by a specialist teacher of the deaf

3.4.4 Extra 25% assessment time allowance

3.5 Learning Difficulties

The provision of:

3.5.1 A reader/and/or writer

3.5.2 Audio visual aids according to candidate's need

3.5.3 Extra 25% assessment time allowance

3.6 Medical Conditions

3.6.1 Arrangements to be made according to candidate's individual need.

3.6.2 Extra 25% assessment time allowance



3.7 English as a second/additional Language

The provision of:

- 3.7.1 A non-electronic bilingual dictionary.
- 3.7.2 A reader and/or writer
- 3.7.3 Extra 25% time allowance

4 Language Translators

- 4.1 Please note that HABC **do not** allow the use of translators to assist candidates who do not speak, write or understand English.
- 4.2 HABC do however allow the provision of a Reader and/or Writer for candidates who do not speak English as their first language, as well as the use of translation dictionaries. Centres wishing to provide these reasonable adjustments must notify HABC prior to the assessment taking place and in accordance with procedures stated in section 9 of this document.

5 Translated Examination Papers

- 5.1 HABC will be producing translated papers across our range of qualifications in a selection of different languages. For more information and to register your interest in translated papers, please visit the Translation Request webpage on the HABC website, which can be found at the following link: <http://www.highfieldabc.com/approved/centrelangsummary.aspx>
- 5.2 For further details on any of the above, please contact HABC on 00 9714 449 4042 or e-mail your Account Manager directly.

6 Role Definition of Readers and Writers

- 6.1 A reader/writer is a person who on request, will read or write for a candidate who is able to demonstrate a need for this provision. This provision may be used for:
 - 6.1.1 All or part of the examination or assessment papers.
 - 6.1.2 All or any part of the candidate's answers.
 - 6.1.3 The reader/writer should not normally be the candidate's course tutor/trainer. On no account should such a facilitator be a relative or friend of the candidate.
- 6.2 Readers/writers must not in any way attempt to modify either the content of the answers given by the candidate or to alter the specific qualification requirements.
- 6.3 Separate accommodation should be made available for candidates – single or as a group requiring the services of reader/writer in order not to disturb other candidates.



- 6.4 Invigilators/Assessors supervising an assessment or examination may not act as a reader/writer.
- 6.5 Failure to act on these guidelines could result in the candidate's disqualification.
- 6.6 Centres wishing to use overwriters for hearing impaired candidates should only be carried out by a qualified teacher of deaf people and should be applied according to the guidelines set out in the Language of Examinations booklet published by The British Association of Teachers of the Deaf or the guidelines produced by The National Association for Tertiary Education for Deaf People.
- 6.7 Overwriting should commence as near as possible to the start time of the examination and should normally be in pen on the candidate's paper. Should extensive modifications be necessary, a separate paper with the answers written in full should be attached to the original question paper
- 6.8 Overwriting should not be carried out on any technical language contained in the answer.

7 HABC Permitted Reasonable Adjustments Guidance for Centres

7.1 Reasonable Adjustment Principles

7.1.1 Adjustments to assessments should be based on the following principles:

7.1.1.1 Adjustments should not compromise the assessment requirements of the qualifications

7.1.1.2 Should not provide the candidate with an unfair advantage

7.1.1.3 Should be consistent with the candidate's normal way of working

7.1.1.4 Should be based on the individual need of the candidate

7.1.2 Should allow candidates an equal opportunity to show what they can do and what they know without altering competence standards

7.1.3 Centres are required to ensure that where it makes an application to HABC for an adjustment that:

7.1.3.1 The information in the application is accurate

7.1.3.2 The Centre will be able to provide the arrangements requested if HABC gives permission

7.1.3.3 The Reasonable Adjustment will be implemented in accordance with the guidance given by HABC

7.1.3.4 The Centre provides an assurance that it will not exceed the allowed adjustment



7.1.3.5 Any application for adjustment is supported by evidence which is valid, sufficient and reliable

7.1.3.6 All adjustments to assessment must be implemented in accordance with the guidance given by HABC.

7.2 Reasonable Adjustments Permissions Table

7.2.1 The following table indicates where the decisions on Reasonable Adjustments can usually be made. Approved Centres must seek advice from HABC in any case where they do not consider that they have the expertise to judge whether a reasonable adjustment is needed or unable to apply this criteria

Key

AC – Reasonable Adjustment Permitted at the Discretion of the Approved Centre

HABC – Apply to HABC for Permission

7.2.2

Reasonable Adjustment	Assessments which are taken under examination conditions
Extra time up to 25 per cent of the total exam time	AC
Extra time in excess of 25 per cent	HABC
Supervised rest breaks	AC
Change in the organisation of assessment room	AC
Separate accommodation within the Centre	AC
Assessment at an alternative venue	HABC
Use of coloured overlays, low vision aids, tinted spectacles, CCTV and OCR scanners	HABC
Use of assistive software	HABC
Use of bilingual and bilingual translation dictionaries	AC
Assessment material in enlarged format	HABC
Assessment material in Braille	HABC
Language modified assessment material	HABC
Assessment material in BSL	HABC
Assessment material on coloured paper	HABC
Assessment material in audio	HABC
Use of ICT	HABC
Responses using electronic devices	HABC
Responses in BSL	HABC
Responses in Braille	HABC
Reader	AC
Scribe	AC
BSL Interpreter	HABC
Prompter	HABC
Practical assistant	HABC
Transcriber	HABC



- 7.3 In circumstances where a Reasonable Adjustment has been permitted at the discretion of the Approved Centre, form RA 1 should be completed and returned to HABC at the end of each quarter.

- 7.4 In circumstances where the Centre needs to apply to HABC for a decision on permitted Reasonable Adjustments, Form RA 2 must be submitted to HABC five working days before the start of the course. HABC will respond in writing to the application within two working days, providing details of Reasonable Adjustments permitted. Form RA 2 can be found at PMEA035 of the Core Manual, or on the HABC website.

- 7.5 If the potential adjustments fall outside the scope of those permitted, Centres should complete Form RA 2.

- 7.6 In the case of candidates for whom the implications of a difficulty are not immediately obvious, specialist advice will need to be taken. This may mean requesting an opinion from a qualified medical practitioner as to the adjustments that could be made. It would then require specialists within the Centre to make a decision as to whether such adjustments are reasonable and/or whether such adjustments would give the candidate an unfair advantage over others without the difficulty/disability.

If Centres/Centre Contacts have any additional queries or do not understand any of the information provided in this document, HABC strongly advises the Centre Contact to contact their Account Manager.



HABC Monitoring and Evaluation Procedures for Reasonable Adjustments

Document Title: Monitoring and Evaluation Procedures for Reasonable Adjustments	Procedure No.: PME033	
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0



MONITORING AND EVALUATION PROCEDURES FOR REASONABLE ADJUSTMENTS

1 Introduction

- 1.1 In the interest of an inclusive assessment process, HABC will consider on the basis of legislation, regulation or good practice models, whether its procedures for Reasonable Adjustment should be applied where a request is received from a Centre, or an individual candidate for such Reasonable Adjustment. Any such adjustment will take into account its duty as an Awarding Organisation to ensure that the integrity of its qualifications and assessment is maintained at all times.
- 1.2 A working definition of Reasonable Adjustment is any action which addresses and helps to reduce the effect of the disability or difficulty which would substantially disadvantage a candidate during an examination or assessment situation. The rationale is to make appropriate Reasonable Adjustments to standardised assessment arrangements to enable access. The following procedures apply:
- 1.2.1 Centre Responsibilities:
- 1.2.1.1 Centres must meet their responsibilities to candidates and comply with current disability and equal opportunity legislation as well as meeting regulatory requirements. Each Centre must, therefore, consider in advance any difficulties candidates may have in accessing assessment. All staff must have training in relevant access issues.
 - 1.2.1.2 Centres must ensure that they can provide appropriate resources to make the necessary adjustment to assessment. The Awarding Organisation's procedures for requesting adjustments must be followed on each occasion such adjustment is required.
 - 1.2.1.3 In the interest of Diversity and Equality and the avoidance of malpractice claims, only approved adjustments will be allowed and the approved level of assistance must not be exceeded.
 - 1.2.1.4 Appropriate adjustments will be based on the specific assessment requirements of the particular qualifications, on the type of assessment and the particular needs and circumstances of the candidate in question.



HABC Form RA1 to Complete where the Centre has Permitted Reasonable Adjustments

Document Title: Form RA1 to Complete where the Centre has Permitted Reasonable Adjustments		Procedure No.: PME034
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0

FORM RA1 TO COMPLETE WHERE THE CENTRE HAS PERMITTED REASONABLE ADJUSTMENTS

1. Please list the candidates granted Reasonable Adjustments by the Centre. Candidates should not be listed for whom applications have been made to HABC. (These should be provided on Form RA 2).

1.1 **Centre Number:**

1.2 **Centre Name:**

1.3 This form should be returned to HABC at the end of each quarter. A copy of the form should be retained by the Centre and made available to the Awarding Organisation or the regulatory authorities as required.

2. **Candidate Details**

2.1 Please complete as appropriate:

Candidate Number	Candidate Name	Qualification Code	Qualification title and level	Reason for Application	Reasonable Adjustment Required	Supporting evidence

3. Declaration

3.1 I confirm that:

3.1.1 this form contains the details of all the Reasonable Adjustments permitted by the Centre; and

3.1.2 the adjustments to assessment have been made in accordance with the guidance of HABC.

Name:

Signature.....

Position:

Date:.....



HABC Applying to HABC for Reasonable Adjustments (Form RA 2)

Document Title: Applying to HABC for Reasonable Adjustments (Form RA 2)		Procedure No.: PME035
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0

APPLYING TO HABC FOR REASONABLE ADJUSTMENTS (FORM RA 2)

1. Introduction

1.1 Please complete a separate form for each individual candidate and send a completed copy to HABC at least five working days before the start of the course.

1.1.1 Centre Name

1.1.2 Candidate Number

1.1.3 Candidate Name

1.1.4 Examination Date

1.1.5

Qualification Code	Qualification Level	Qualification Title

2. Reason for Application

.....

.....

.....

.....

3. Reasonable Adjustments Required

.....

.....

.....

.....

.....

4 Evidence in Support of the Application

4.1 This may include:

4.1.1 The Centre’s assessments of candidate’s needs;

4.1.2 History of provision within the Centre;

4.1.3 Medical certificate; and

4.1.4 Psychological or other professional assessment report

5 Please Provide Details of Supporting Evidence:

.....

.....

.....

.....

.....

6 Please Provide Details of Access Facilitator Required (where applicable).

.....

.....

.....

.....

.....

7 Declaration:

7.1 I confirm that:

7.1.1 The information provided is accurate;

7.1.2 The Centre will be able to provide the arrangements requested; and

7.1.3 The Reasonable Adjustments will be implemented in accordance with the guidance given by HABC.

Name:

Signature:

Position in Centre:

Date:



HABC Special Consideration Policy

Document Title: Special Consideration Policy		Procedure No.: PME036
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01

SPECIAL CONSIDERATION POLICY

1 Introduction

- 1.1** Special Consideration may be granted in instances where, following a scheduled assessment, a candidate:
 - 1.1.1** May have been disadvantaged by temporary illness, injury or other adverse circumstances arising at or near the time of assessment.
 - 1.1.2** Who misses part of the assessment owing to circumstances beyond the candidate's control.
- 1.2** If a candidate falls into categories 1.1.1 or 1.1.2 above, Special Consideration may result in a post-assessment adjustment being made to the mark of the candidate in question.
- 1.3** Centres will be warned about the dangers of candidates receiving an unfair advantage and about the potential for candidates abusing the process to obtain better marks. Centres will be made fully aware that the candidate's results are a reflection of performance as opposed to potential ability therefore appropriate mandatory procedures will be maintained by HABC.

2 Candidate Eligibility

- 2.1** Eligibility criteria (for candidates who are fully prepared and have attended a scheduled assessment) which may qualify a candidate for Special Consideration include:
 - 2.1.1** Alternative assessment arrangements that were agreed in advance, but which through no fault of the candidate, proved to be unworkable;
 - 2.1.2** Where the candidate's performance in other parts of the qualification is considerably better than part of the assessment where it is being asked that Special Consideration should be applied;
 - 2.1.3** Part of an assessment is missed by a candidate due to unforeseen circumstances beyond their control. Examples include bereavement or illness;
 - 2.1.4** Unforeseen circumstances during an examination such as excessive noise in the examination room, a fire alarm, gas leak or power cut.
- 2.2** In some circumstances it may be appropriate to offer a candidate who is eligible for Special Consideration an opportunity to take the assessment at a later date.



2.3 Situations in which a candidate will not be eligible for Special Consideration may include:

2.3.1 Situations where an assessment (or part thereof) is missed due to unauthorized absence or annual leave;

2.3.2 Preparation is affected by problems during the course, for example, industrial action; and

2.3.3 No evidence (medical or otherwise) is presented by a candidate in support of an application for Special Consideration.

3 Applying for Special Consideration

3.1 Applications for Special Consideration must be completed on Form SC 1. The completed form must be submitted to HABC by the Centre Contact on behalf of the candidate. Form SC 1 can be found in PME037 of the Core Manual, or alternatively on the HABC website. Applications must be submitted to HABC within five working days following the examination/assessment.

3.2 HABC will respond in writing to the request for Special Consideration within two working days of the application. The written response will detail the acceptance or refusal of permission for Special Consideration.

4 Aegrotat

4.1 Due to the nature of qualifications being offered by HABC, aegrotat awards cannot be offered to candidates. Candidates have the opportunity to apply for Special Consideration on Form SC 1 in circumstances where they believe they have a grievance.



HABC Applying for Special Consideration (Form SC 1)

Document Title: Applying for Special Consideration (Form SC 1)		Procedure No.: PMEA037
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.01

APPLYING FOR SPECIAL CONSIDERATION (FORM SC 1)

1 Introduction

1.1 Please complete a separate form for each individual candidate and send a completed copy to HABC within five working days following the examination/assessment.

1.1.1 Centre Number

1.1.2 Candidate Number

1.1.3 Centre Name

1.1.4 Candidate Name

1.1.5 Examination Date

1.1.6

Qualification Code	Qualification title and level	Date of assessment session	Did not attend (✓)	Attended but disadvantaged (✓)

2 Summary of Adverse Circumstances Affecting Performance in Assessment

.....

.....

.....

.....

.....

3 Evidence in Support of the Application

3.1 This may include:

3.1.1 Medical or psychological evidence; and

3.1.2 Statement from the Invigilator

4 Please Give Details of Supporting Evidence Provided

.....

.....

.....

.....

.....

.....

.....

.....

.....



5 Declaration:

5.1 I confirm that the information provided is accurate.

Name:

Signature:

Position in Centre:

Date:

Please return to:

HABC Special Consideration Department
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates



HABC Centre Approval Information Update (Form CAIU 1)

Document Title: Centre Approval Information Update (Form CAIU 1)		Procedure No.: PME038
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.01

CENTRE APPROVAL INFORMATION UPDATE (FORM CAIU 1)

1. Introduction

1.1 The Centre Contact is responsible for updating HABC with any changes relating to Centre details. In order to help keep HABC records up to date, please complete the form below appropriately, advising of any changes to Centre details.

Centre Name: **Centre Number:**

1.2 Please specify the Centre information you are updating:

.....

.....

.....

2 Please Complete the Appropriate Section of the Form

2.1 Change to Centre Contact Details

2.1.1 Name of present Centre Contact:

2.1.2 Name of new Contact:

2.1.3 Title (Mr, Mrs, Ms, etc)

2.1.4 Position:

2.1.5 E-mail address

2.1.6 Tel No:

2.1.7 Fax No:

2.1.8 Address Centre Contact is based at:

.....

.....



2.2 Change to Centre Details

2.2.1 Current Address:

.....
.....

2.2.2 New Address:

.....

2.2.3 Postcode:

2.2.4 Telephone Number:

2.2.5 Fax No:

2.2.6 E-mail Address:

2.2.7 Website:

3 Nominated Tutors

3.1 Please remove the following Nominated Tutors from our Centre records:

.....
.....

3.2 Please note the following Nominated Tutor has now gained additional qualifications:

3.2.1 Name of Nominated Tutor:

3.2.2 Qualifications gained:

.....
.....
.....

4 Declaration

4.1 I confirm that to the best of my knowledge and belief the above information is correct and current.

Centre Contact:

Signed:

Date:

Please submit completed form to:

HABC Centre Update
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates



HABC Monitoring Procedures for Centres

Document Title: Monitoring Procedures for Centres		Procedure No.: PME039
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01



MONITORING PROCEDURES FOR CENTRES

- 1. HABC will take the following actions to maintain the integrity of Accredited Qualifications:**
 - 1.1 The Centre Contact at Approved Centres will be provided with access rights to the Core Manual (and other Policy documents as appropriate) setting out the standards Centres have to meet to acquire and maintain Approved Centre status. It is a condition of Centre Approval status that all Centres adhere with the contents of the Core Manual and other Regulatory requirements.
 - 1.2 Where a Centre applies for approval, an advisory meeting may be arranged with HABC staff, although in the majority of cases this will not be necessary.
 - 1.3 Each potential Centre will be provided with guidance on how to manage the assessment of candidates with specific needs in line with HABC's Reasonable Adjustment Procedures.
 - 1.4 Applications for approval will usually be acknowledged within one working day following receipt of application.
 - 1.5 HABC will endeavour to process applications within seven working days of receipt of the application.
 - 1.6 Where an approval visit is required it will be made within 10 working days of receipt of the Centre's application.
 - 1.7 Confirmation of HABC's decision on Approved status will usually be given within ten working days of the visit.
 - 1.8 Approved Centres will be monitored to ensure compliance with HABC's criteria for approved Centre status.
 - 1.9 Centres will receive advice on the monitoring process and be informed in advance of proposed dates for monitoring visits.
 - 1.10 A monitoring report system will be used to inform Centres of the outcome of monitoring visits.



- 1.11 In the event of Centres being required to accept increased monitoring to maintain the integrity of accredited qualifications, timely notice of additional monitoring visits will be given and a calendar of visits established. Unscheduled visits during examinations or assessments may be carried out.
- 1.12 Approval of tasks set to candidates, assessment criteria and/or mark schemes will be a compliance requirement for Centres and will be closely monitored by HABC.
- 1.13 Where HABC is not satisfied that candidate registrations or claims for certification are not compliant with its requirements for approved Centre status or do not meet its quality standard, HABC may impose a moratorium on candidate registrations or claims for certification until the issues are resolved to its satisfaction.
- 1.14 Where the performance of a Centre causes serious concern, HABC will advise the Centre that its approval is suspended pending investigations and review of its status by HABC. Should a situation not be resolved to HABC's satisfaction, HABC may decide to withdraw approval from a Centre.

2 Evaluation

- 2.1 HABC will monitor Nominated Tutors, examiners, moderators, independent assessors and external verifiers to ensure full compliance with its own quality standards and operational guidelines and, where applicable, those of the Regulatory Authority.
- 2.2 Self-assessment reports carried out by HABC, including an evaluation of its Approved Centres' self-monitoring reports, will be submitted to the Regulatory Authorities to an agreed timetable. Access to premises, meetings, documents and data will be agreed with the Regulatory Authority.



HABC Examination and Invigilation Regulations

Document Title: Examination and Invigilation Regulations		Procedure No.: PMEA040
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01

EXAMINATION AND INVIGILATION REGULATIONS

1. General

- 1.1** To uphold the integrity of HABC qualifications, it is imperative that policies and procedures are put in place and strictly adhered to by Centres, Nominated Tutors and examination Invigilators/Assessors.
- 1.2** It is the responsibility of the person designated as Centre Contact to ensure compliance with all HABC policies and procedures.
- 1.3** It is the responsibility of the person designated as Centre Contact to ensure that all Nominated Tutors/Invigilators/Assessors are suitable to carry out these particular roles.
- 1.4** All Nominated Tutors/Invigilators/Assessors should be given access to the HABC policies and procedures. It is the responsibility of the Centre Contact to ensure that all chosen Nominated Tutors/Invigilators/Assessors adhere to all HABC policies and procedures.
- 1.5** It is the responsibility of the Centre Contact to ensure that all Nominated Tutors/Invigilators/Assessors are given a copy of the HABC Examinations and Invigilation Regulations.
- 1.6** If your Centre wishes to purchase examination papers in bulk, you must inform your designated Account Manager of the date, time and venue of the course and/or examination at least five working days before it is due to take place. Please note that HABC reserve the right to attend the course with or without notice for auditing purposes.

2 Ordering Examination Materials

- 2.1** All orders for examination materials must be submitted online, posted, faxed or e-mailed to HABC.

All orders for written examination materials must be received by HABC at least five working days before the examination. Orders received less than three working days before the examination will be processed at HABC's discretion, although HABC will not be able to guarantee that the materials will be received in good time. Such orders may be subject to an additional post/courier charge. Details of all fees can be found on the HABC MEA website.



- 2.2 HABC will send the designated Centre Contact the following materials normally within five working days;
 - 2.2.1 A sealed security bag containing individual examination papers and candidate Examination Answer Sheets (EAS);
 - 2.2.2 Examination Candidate List and Declaration (PMEA042). It is mandatory that Centres return a copy of this form in the sealed security bag after each examination session, unless the same information is submitted to HABC via our website.
 - 2.2.3 A pre-labelled unsealed security bag to return examination papers, Examination Answer Sheets, Examination Candidate List and Declaration and unused materials to HABC. (Multiple bags will be sent for bulk orders)
- 2.3 Centre Contacts are urged to print the following document which can be accessed in the Members Area on the HABC website:
 - 2.3.1 Examination Feedback Form (Form EF 1- PMEA045). This is a **non mandatory** form; however Centres are encouraged to return this form to HABC after each course taken. Again this form can be accessed in the Members Area of the HABC website.
- 2.4 HABC reserves the right to raise a charge in the event that examinations are cancelled after the materials have been dispatched.

3 Ordering Retake Materials

- 3.1 This is the same procedure as set out in section 2 above.

4 Receipt and Storage of Examination Materials

- 4.1 The Centre Contact should check the content of examination materials received on receipt of the goods. Any discrepancies/damage should be communicated to HABC immediately by telephone, e-mail or fax.
- 4.2 The sealed security bag containing each individual examination paper must not be opened until no more than five minutes before the commencement of the examination. Prior to this, the examination papers should be kept in a locked secure place. The best place to keep them would be a safe but this is not mandatory. Should the papers be taken to another site they should be transported in a secure locked container.



5 Instructions to Candidates

- 5.1 Centres should make clear to candidates well in advance of the examination that they should notify the Centre should they require Reasonable Adjustments and/or Special Consideration.
- 5.2 HABC's policies in respect of Reasonable Adjustments and Special Consideration can be found in PMEA032 and PMEA036 of the Policies Manual.
- 5.3 All Candidates must be instructed to bring photographic identification to the assessment for checking by the invigilator. This instruction should be given ahead of the course/assessment when the candidate registers and/or with any pre-course materials.

6 Changes in Venue, Time or Date of the Examination

- 6.1 Any changes to the venue, time or date of the examination should be notified to HABC at least five working days before the course was originally due to take place. It is the responsibility of the Centre Contact to notify HABC of any changes in writing (e-mail is acceptable) before the course/examination.

7 Cancellation of Examination

- 7.1 In the event of an examination being cancelled, examination materials can be returned in the enclosed security bag. It is permissible to use the examination papers for an examination at a later date, as long as the procedures set out in the Examination and Invigilation Regulations are adhered to.

8 Candidate Identification

- 8.1 It is the responsibility of the Centre to have systems in place to ensure that the person taking an examination is indeed the person they are purporting to be. **All Centres are therefore required to ensure that each candidate's photographic identification is checked before they are allowed to sit the examination and write the type of photo identification provided by each candidate on the Candidate List under "Identification Provided".** HABC will accept the following as proof of a Candidates Identity:
 - 8.1.1 Valid Passport (any nationality)
 - 8.1.2 Signed Photo card Driving Licence
 - 8.1.3 Valid Warrant Card issued by Military Forces, Police
 - 8.1.4 Other photographic ID card, e.g. Employee ID Card (must be current employer), Student ID Card, Travel card



- 8.1.5 In the event that a candidate is unable to produce any of the forms of identification listed in 8.1.1 – 8.1.4 above, an invigilator **may** accept another form of identity containing a signature, for example a credit card. The invigilator must, however, be satisfied that the signature on the identity matches the candidates own signature on the candidate list.
- 8.1.6 If a candidate is unable to supply any of the above then, in certain circumstances and with prior written agreement from HABC, verification of a candidate's identity by a third party representative, such as a line manager or Human Resources Manager, may be accepted. This situation may apply, for example, when all candidates are employees of the Centre conducting the examination, or when all candidates are employed by the same company where the course examination is being held. The person verifying must write a statement on the Candidate List as follows: "*I confirm the identities of the above candidate(s)*", signing their own name, then printing their own name and job title. Centres requiring third-party verification of candidates' identities must contact HABC for guidance in the first instance. **Please note that HABC does not allow third-party ID verification for Security or licensable qualifications under any circumstances.**
- 8.1.7 All instances where a candidate fails to produce photographic ID – or any other acceptable form of ID as outlined above - must be reported to HABC.
- 8.2 Any Nominated Tutor/Invigilator/Assessor who has any reason to suspect that a person attempting to take an examination is not the person they are purporting to be must not allow that person to take the examination.
- 8.3 All occurrences of a situation as described in 8.1 – 8.2 above must be reported to HABC immediately.

9 Examination Materials

- 9.1 At the beginning of the examination, the Invigilator must check they are in receipt of the following materials:
- 9.1.1 Examination question papers and candidate Examination Answer Sheets (EAS);
 - 9.1.2 Examination Candidate List and Declaration;
 - 9.1.3 HABC self-addressed security bag to return all examination materials; and
 - 9.1.4 Spare pencils and erasers.

10 Invigilators



- 10.1 The invigilator must not be related to candidates. It is the Centre's responsibility to ensure that the invigilator is suitable to invigilate examinations.

11 Prior to the Examination

- 11.1 Prior to the examination, Invigilators/Assessors should take the following actions:
 - 11.1.1 Inspect the examination room to ensure that the accommodation is suitable and the seating is arranged in such a way to avoid malpractice;
 - 11.1.2 Ensure that all learning aids (such as wall posters) that may assist candidates with the examination are covered or removed;
 - 11.1.3 Verify that all candidates are present;
 - 11.1.4 Check the front of the sealed security bag to ensure that the correct examination materials have been sent;
 - 11.1.5 Identify any individuals for whom special arrangements have been approved by HABC;
 - 11.1.6 Familiarize themselves with the examination and Invigilators/Assessors regulations;
 - 11.1.7 Explain evacuation arrangements to candidates, in the event of an emergency;
 - 11.1.8 Be confident that all the individuals attempting to take the examination are who they say they are; and
 - 11.1.9 Ensure all candidates add their details to the Candidate List.

12 Starting the Examination

- 12.1 Prior to the examination, Invigilators/Assessors are required to:
 - 12.1.1 Arrive at the examination location in good time;
 - 12.1.2 Inform the candidates of the start and finishing time of the examination, referring to a clock that should be visible to all candidates;
 - 12.1.3 Ensure that all candidates are positioned sufficiently apart to avoid the risk of malpractice;



- 12.1.4 Inform candidates that they are not permitted to refer to any materials other than a standard dictionary. Invigilators/Assessors should check that only authorized materials are on the candidates' desks;
- 12.1.5 Inform all candidates that they should read all instructions on the examination paper before answering the questions and that all mobile phones should be switched off;
- 12.1.6 Inform all candidates that they are forbidden from communicating with other candidates during the examination and that the Invigilator/Assessor is not permitted to provide any further explanation or guidance on examination questions; and
- 12.1.7 Once the candidates are settled, ensure that the candidates open the sealed security bag and check that they have the correct examination paper, noting the title of the examination and paper number.
- 12.2 Prior to the examination starting, the Invigilator/Assessor should ensure that all candidates complete the following information on their Examination Answer Sheets (EAS):
 - 12.2.1 The candidate's full name;
 - 12.2.2 The Approved HABC Centre number;
 - 12.2.3 The HABC Nominated Tutor number of the person who delivered the training;
 - 12.2.4 The examination date;
 - 12.2.5 Whether the examination is a resit; and
 - 12.2.6 The examination start time
- 12.3 Please note: The Security Code and Examination Paper Code should be pre-printed on the candidate Examination Answer Sheet (EAS).

13 During the Examination

- 13.1 The Invigilator must supervise the candidates at all times throughout the examination.
- 13.2 Absolute silence must be maintained throughout the examination.
- 13.3 Candidates who arrive after the starting time for an examination may, at the discretion of the Invigilator/Assessor, enter the room and sit the examination providing that they do not disturb the other candidates. They must, however, finish the examination at the same time as the other candidates.



- 13.4 Candidates who need to leave the examination room must be accompanied by an Invigilator/Assessor, who must ensure that they do not speak to anyone else, make a telephone call or refer to any notes.
- 13.5 Any candidate wishing to leave the examination room early must hand in their answer sheet and examination paper and must not be readmitted to the room under any circumstances.
- 13.6 In the event that an Invigilator/Assessor observes or suspects a candidate of cheating, that candidate should be asked to stop. Should the action be considered serious enough, a candidate's examination paper and answer sheet should be collected and the candidate asked to leave the examination room. In this latter scenario the Invigilator/Assessor must submit a written report to the Centre Contact who should notify HABC of the incident.
- 13.7 **For further guidance on HABC procedures for dealing with malpractice, please refer to the Malpractice Guidance Notes in PMEAO46 of the Core Manual.**
- 13.8 Invigilators are expected to remind the candidates of the time remaining approximately 15 minutes before the end of the examination.

14 Emergencies

- 14.1 In the event of an emergency, the Invigilator/Assessor should evacuate the examination venue in accordance with venue procedures. All examination papers and answer sheets should be left on the candidates' desks.
- 14.2 If an Invigilator/Assessor is satisfied that the integrity of the examination has not been compromised, the examination can be resumed for the remaining allocated time. The Invigilator/Assessor must submit a full report of the incident to HABC.

15 The End of the Examination

- 15.1 After the examination has finished, the Invigilator/Assessor should ask all candidates to note the examination finish time on their EAS and sign the document in the bottom right-hand corner.
- 15.2 The Invigilator/Assessor should check to ensure that the number of completed answer sheets and candidate booklets matches the number of candidates. She/he should also check to ensure that the candidates have correctly entered their details onto the Examination Answer Sheets.
- 15.3 The Invigilator/Assessor should also check to ensure that she/he signs the declaration for the examination and any approval forms for candidates who



have special arrangements in place. Details of any extenuating circumstances should also be recorded.

- 15.4 The Invigilator/Assessor should check the dates of birth are entered for all candidates.

16 After the Examination

- 16.1 If photocopying facilities are available at the examination venue, then it is recommended that photocopies of candidate answer sheets are taken immediately after the examination. The invigilator should then bring the papers back and seal them, with materials referred to in 9.1, in the examination room in front of at least one candidate. On no occasion should the invigilator leave the examination room without the examination sheets being sealed in a grey bag.

- 16.2 If there are no copying facilities at the examination venue then the invigilator will be unable to take copies (they certainly can't take them back to the office and copy later). In such cases the papers should be sealed in front of at least one candidate like previously.

- 16.3 **Opened Examination question papers must be returned to HABC. It is NOT permitted to copy any part of the examination question paper.**

- 16.4 The Centre Contact is responsible for ensuring there is sufficient postage to cover the safe return of used examination materials to HABC.

17 Results and Certificates

- 17.1 Results and certificates will normally be processed in accordance with HABC's Customer Service Statement which can be found at PMEAO22 within the Policies Manual.

18 Replacement Certificates

- 18.1 The process for obtaining replacement certificates can be found at PMEAO44 of the Core Manual.

19 Fees

- 19.1 HABC will invoice all Centres in accordance with the fee structure set out on the HABC MEA website. Centres are asked to pay the invoice within 30 days of issue. HABC reserves the right not to provide any further examination materials and/or process any further examination documentation if a Centre fails to adhere to these payment provisions.

20 Retakes



20.1 Any candidate who fails an examination can retake as many times as they like.

21 Appeals Against Results

21.1 Any candidate wishing to appeal against an examination result can do so by invoking the Enquiry and Appeals Procedure which can be found in PME047 of the Core Manual.



HABC Invigilation Instructions

Document Title: Invigilation Instructions		Procedure No.: PME041
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01

INVIGILATION INSTRUCTIONS

1. General

- 1.1 To uphold the integrity of HABC qualifications, it is imperative that policies and procedures are put in place and strictly adhered to by Invigilators/Assessors.
- 1.2 All Invigilators/Assessors will be given access to the HABC policies and procedures. These can be found in the HABC Core Manual and Policies Manual. It is imperative that these are adhered to at all times.
- 1.3 Any Reasonable Adjustments and/or Special Consideration requests will have been agreed with the Centre Contact in advance of the examination. Your Centre Contact should be informed immediately if this is not the case. HABC's policies in respect of Reasonable Adjustments and Special Consideration can be found in PMEA032 and PMEA036 of the Policies Manual.

2. Security

- 2.1 It is the responsibility of the Centre to have systems in place to ensure that the person taking an examination is indeed the person they are purporting to be. As such, it is imperative that any Invigilator/Assessor who has any reason to suspect that a person attempting to take an examination is not the person they are purporting to be must not allow that person to take the examination.

3. Examination Materials

- 3.1 At the beginning of the examination the Invigilator/Assessor must check they are in receipt of the following materials:
 - 3.1.1 Examination question papers and candidate Examination Answer Sheets (EAS);
 - 3.1.2 Examination Candidate List and Declaration;
 - 3.1.3 HABC self-addressed security bag to return all examination materials; and
 - 3.1.4 Spare pencils and erasers.
- 3.2 The Invigilator/Assessor will have been provided with a list of candidates due to sit the examination. The Invigilator/Assessor should only allow candidates on the list to sit the examination.



3.3 The sealed security bags containing each individual examination paper must not be opened until no more than five minutes before the commencement of the examination. Prior to this, the examination papers should be kept in a locked secure place. The best place to keep them would be a safe but this is not mandatory. Should the papers be taken to another site they should be transported in a secure locked container.

4. **Invigilators**

4.1 The Invigilator/Assessor must not be related to candidates.

4.2 There must be a sufficient number of Invigilators/Assessors to ensure that candidates are not left unattended at any time during the examination.

5. **Candidate Identification**

5.1 All Candidates must be instructed to bring photographic identification to the assessment for checking by the invigilator. This instruction should be given ahead of the course/assessment when the candidate registers and/or with any pre-course materials.

5.2 It is the responsibility of the Centre to have systems in place to ensure that the person taking an examination is indeed the person they are purporting to be. **All Centres are therefore required to ensure that each candidate's photographic identification is checked before they are allowed to sit the examination and write the type of photo identification provided by each candidate on the Candidate List under "Identification Provided"**. HABC will accept the following as proof of a Candidates Identity:

5.2.1 Valid Passport (any nationality)

5.2.2 Signed Photo card Driving Licence

5.2.3 Valid Warrant Card issued by Military Forces, Police

5.2.4 Other photographic ID card, e.g. Employee ID Card (must be current employer), Student ID Card, Travel card

5.2.5 In the event that a candidate is unable to produce any of the forms of identification listed in 5.2.1 – 5.2.4 above, an invigilator may accept another form of identity containing a signature, for example a credit card. The invigilator must, however, be satisfied that the signature on the identity matches the candidates own signature on the candidate list.



- 5.2.6 If a candidate is unable to supply any of the above then, in certain circumstances and with prior written agreement from HABC, verification of a candidate's identity by a third party representative, such as a line manager or Human Resources Manager, may be accepted. This situation may apply, for example, when all candidates are employees of the Centre conducting the examination, or when all candidates are employed by the same company where the course examination is being held. The person verifying must write a statement on the Candidate List as follows: "*I confirm the identities of the above candidate(s)*", signing their own name, then printing their own name and job title. Centres requiring third-party verification of candidates' identities must contact HABC for guidance in the first instance. **Please note that HABC does not allow third-party ID verification for Security or licensable qualifications under any circumstances.**
- 5.2.7 All instances where a candidate fails to produce photographic ID – or any other acceptable form of ID as outlined above - must be reported to HABC.
- 5.3 Any Nominated Tutor/Invigilator/Assessor who has any reason to suspect that a person attempting to take an examination is not the person they are purporting to be must not allow that person to take the examination.
- 5.4 All occurrences of a situation as described in 5.2 – 5.3 above must be reported to HABC immediately.
6. **Prior to the Examination**
- 6.1 Prior to the examination Invigilators/Assessors should take the following actions:
- 6.1.1 Inspect the examination room to ensure that the accommodation is suitable and the seating is arranged in such a way to avoid malpractice;
- 6.1.2 Ensure that all learning aids (such as wall posters) that may assist candidates with the examination are covered or removed;
- 6.1.3 Verify that all candidates are present;
- 6.1.4 Check the front of the sealed security bag to ensure that the correct examination materials have been sent;
- 6.1.5 Identify any individuals for whom special arrangements have been approved by HABC;



- 6.1.6 Familiarize themselves with the examination and Invigilators/Assessors regulations;
- 6.1.7 Ascertain evacuation arrangements of candidates in the event of an emergency;
- 6.1.8 Be confident that all the individuals attempting to take the examination are who they say they are; and
- 6.1.9 Ensure all candidates add their details to the Candidate List.

7. **Starting the Examination**

- 7.1 Prior to the examination Invigilators/Assessors are required to:
 - 7.1.1 Arrive at the examination location in good time;
 - 7.1.2 Inform the candidates of the start and finishing time of the examination, referring to a clock that should be visible to all candidates;
 - 7.1.3 Ensure that all candidates are positioned sufficiently apart to avoid the risk of any malpractice;
 - 7.1.4 Inform candidates that they are not permitted to refer to any materials other than a standard dictionary. Invigilators/Assessors should check that only authorized materials are on the candidates' desks;
 - 7.1.5 Inform all candidates that they should read all instructions on the examination paper before answering the questions and that all mobile phones should be switched off; and
 - 7.1.6 Inform all candidates that they are forbidden from communicating with other candidates during the examination and that the Invigilator/Assessor is not permitted to provide any further explanation or guidance on examination questions.
 - 7.1.7 Once the candidates are settled, open the sealed security bag and check that you have the correct examination paper for those candidates present and note the title of the examination and paper number.
- 7.2 Prior to the examination starting the Invigilator/Assessor should ensure that all candidates complete the following information on their Examination Answer Sheets (EAS):



- 7.2.1 The candidate's full name;
 - 7.2.2 The Approved HABC Centre number;
 - 7.2.3 The HABC Nominated Tutor number of the person who delivered the training;
 - 7.2.4 The examination date;
 - 7.2.5 Whether the examination is a resit; and
 - 7.2.6 The examination start time
- 7.3 Please note: The Security Code and Examination Paper Code should be pre-printed on the candidate Examination Answer Sheet (EAS).

8. **During the Examination**

- 8.1 The Invigilator must supervise the candidates at all times throughout the examination.
- 8.2 Absolute silence must be maintained throughout the examination.
- 8.3 Candidates who arrive after the starting time for an examination may, at the discretion of the Invigilator/Assessor, enter the room and sit the examination providing that they do not disturb the other candidates. They must, however, finish the examination at the same time as the other candidates.
- 8.4 Candidates who need to leave the examination room must be accompanied by an Invigilator/Assessor who must ensure that they do not speak to anyone else, make a telephone call or refer to any notes.
- 8.5 Any candidate wishing to leave the examination room early must hand in their answer sheet and examination paper and must not be readmitted to the room under any circumstances.
- 8.6 In the event that an Invigilator/Assessor observes or suspects a candidate of cheating she/he should be asked to stop. Should the action be considered serious enough, a candidate's examination paper and answer sheet should be collected and the candidate asked to leave the examination room. In this latter scenario the Invigilator/Assessor must submit a written report to the Centre Contact who should notify HABC of the incident.
- 8.7 **For further guidance on HABC procedures for dealing with malpractice, please refer to the Malpractice Guidance Notes in PMEAO46 of the Core Manual.**



8.8 Invigilators are expected to remind the candidates of the time remaining approximately 15 minutes before the end of the examination.

9. **Emergencies**

9.1 In the event of an emergency, the Invigilator/Assessor should evacuate the examination venue in accordance with venue procedures. All examination papers and answer sheets should be left at candidates' desks.

9.2 If an Invigilator/Assessor is satisfied that the integrity of the examination has not been compromised, the examination can be resumed for the remaining allocated time. The Invigilator/Assessor must submit a full report to HABC of the incident.

10. **The End of the Examination**

10.1 After the examination has finished, the Invigilator/Assessor should ask all candidates to note the examination finish time on their Examination Answer Sheet and sign the document in the bottom right-hand corner.

10.2 The Invigilator/Assessor should check to ensure that the number of completed answer sheets and candidate booklets matches the number of candidates. She/he should also check to ensure that the candidates have correctly entered their details onto the answer sheets.

10.3 The Invigilator/Assessor should also check to ensure that she/he signs the declaration for the examination and any approval forms for candidates who have special arrangements in place. Details of any extenuating circumstances should also be recorded.

10.4 The Invigilator/Assessor should check the dates of birth are entered for all candidates.

11. **After the Examination**

11.1 If photocopying facilities are available at the examination venue, then it is recommended that photocopies of candidate answer sheets are taken immediately after the examination. The invigilator should then bring the papers back and seal them, with materials referred to in 3.1, in the examination room in front of at least one candidate. On no occasion should the invigilator leave the examination room without the examination sheets being sealed in a grey bag.

11.2 If there are no copying facilities at the examination venue then the invigilator will be unable to take copies (they certainly can't take them back to the office and copy later). In such cases the papers should be sealed in front of at least one candidate like previously.



- 11.3 **Opened Examination question papers must be returned to HABC. It is NOT permitted to copy any part of the examination question paper.**
- 11.4 The Centre Contact is responsible for ensuring there is sufficient postage to cover the safe return of used examination materials to HABC.



HABC Examination Candidate List and Declaration

Document Title: Examination Candidate List and Declaration		Procedure No.: PMEA042
Date Issued: 11 February 2011	Last Revised: May 2014	Revision No.: 0.01



HABC EXAMINATION LEARNER LIST AND DECLARATION

1. Instructions

- 1.1 It is the responsibility of the examination Invigilator/Assessor to ensure that all learner scripts and additional papers including the learner list below are sealed in the security bag provided and returned to HABC.
- 1.2 The Invigilator/Assessor is also responsible for signing the declaration at the bottom of this page.

2. Centre Details

- 2.1 Centre name:
- 2.2 Centre number:
- 2.3 Address of examination venue (if different to Centre address):
.....
.....
- 2.4 Contact telephone number:
- 2.5 Name/number of Nominated Tutor:
- 2.6 Examination title:
- 2.7 Examination date:
- 2.8 Number of learners: 2.9 Course ID:

3. Invigilator Declaration

- 3.1 I confirm I have invigilated the examination in accordance with HABC regulations.
- 3.2 I confirm that I read a copy of the Invigilation Instructions prior to invigilating this examination and have adhered to the same.
- 3.3 I confirm that the start and finish times of the examination have been entered on to each Examination Answer Sheet and the learner has signed in the bottom corner.
- 3.4 I confirm that all examination question papers have been returned to HABC.
- 3.5 I confirm the security of examination/assessment materials has not been compromised during transit or at the assessment venue.
- 3.6 I confirm that I have checked photographic identification for all learners listed on the Examination Learner List.

Signature: Print name: Date:



HABC Seating Plan Guidelines

Document Title: Seating Plan Guidelines		Procedure No.: PME043
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0

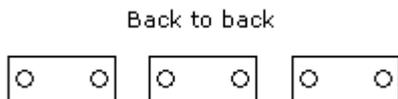


SEATING PLAN GUIDELINES

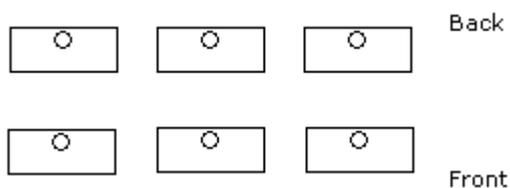
1. Introduction

- 1.1 HABC does not require Approved Centres to complete a seating plan. However, some Centres have indicated that they may wish to complete one to illustrate quality systems are in place. If this is the case, Centres can use the following seating plan enclosed with these guidelines.
- 1.2 Centres may also keep a record of seating plans for internal and external auditing purposes.
- 1.3 If a Centre wishes to submit completed seating plans to HABC, the documents can be returned with all other examination materials in the grey security bags provided. Alternatively the seating plan can be retained by Centres for their own auditing requirements.
- 1.4 Example seating plans are provided below:

1.4.1



1.4.2



- 1.5 Please complete the form and seating plan template on the following page.



HABC Seating Plan

Centre Name:

Centre Number: Exam Date:

Exam Title:

Please illustrate the seating plan including candidate names in the area below:

Back of room

Front of room

Declaration: I confirm that the illustrations above provide an accurate representation of the seating arrangements.

Signed: Print Name:

Position:

Date:



HABC Application for a Replacement Certificate (Form RC 1)

Document Title: Application for a Replacement Certificate (Form RC 1)		Procedure No.: PMEA044
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.02



APPLICATION FOR A REPLACEMENT CERTIFICATE (FORM RC 1)

1. Introduction

1.1 Only individuals who have successfully completed the appropriate assessment or named Centre Contacts on their behalf may apply for a replacement certificate. Replacement certificates will be marked as such and have the same standing as an original.

1.2 HABC will check through its records to verify the original qualification, the date and grade of the award. Due to the fact that the loss or destruction of a certificate is a serious matter, HABC can only issue a replacement certificate if we can establish that the applicant has obtained the relevant qualification.

1.3 Applications submitted by a candidate **must** be accompanied with one proof of identification. Copies of the following documents are acceptable forms of identification:

1.3.1 Signed Passport

1.3.2 Signed driving licence (paper or card)

1.3.3 Military Forces ID Card

1.3.4 EU photo identity card

1.3.4.1 Please note the above list is not exhaustive

1.4 Applications submitted by an Approved HABC Centre on behalf of a candidate **must** be signed by the Centre Contact confirming that candidate identity has been checked against Centre records.

1.5 The fee for a replacement certificate varies depending on the circumstances of the application.

1.5.1 Replacement certificates will be issued without charge if:

1.5.1.1 The application is made within three months of the date of examination; or

1.5.1.2 The individual requesting the replacement certificate provides the original certificate or pass list. This is limited to five certificates per Centre per year; and

1.5.1.3 Replacement certificates will always be issued without charge if an HABC error is identified.



- 1.5.2 Replacement certificates may be issued with a charge if:
- 1.5.2.1 The application is made after three months of the date of examination;
 - 1.5.2.2 The Centre has already received five or more replacement certificates free of charge in a 1 year rolling period; and
- 1.5.3 The application form (RC 1) must be completed in full with **all** requests for replacement certificates.
- 1.6 Please note that any fee charged will not be returned in the event that HABC are unable to verify that an individual completed an assessment and is therefore unable to issue a certificate.
- 1.7 Replacement certificates will be issued with the name of the candidate as it was at the time the examination was taken.
- 1.8 Candidates are advised to obtain the assistance of the Centre through which they took the qualification should they personally want to complete Form RC 1.
- 1.9 HABC will monitor the issuing of replacement certificates through its auditing procedures and reserves the right to alter the arrangement without notice.
- 1.10 In order to request a replacement certificate, you need to complete the application form below and return to HABC at:
- HABC Replacement Certificates
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates

2. **Applicant & Qualification Details (Complete in BLOCK CAPITALS)**



- 2.1 Candidate name:
- 2.2 Date of birth:
- 2.3 Address:
.....
- 2.4 Postcode:
- 2.5 Tel:
- 2.6 E-mail address:
- 2.7 Name at time of the examination:
- 2.8 State the full title of the qualification:
.....
- 2.9 What was the date or approximate date of the examination:
- 2.10 Centre name:
- 2.11 Centre number:
- 2.12 Centre contact:
- 2.13 Centre telephone number:
- 2.14 Centre address:
.....
- 2.15 Please provide the reason for the application for a replacement certificate:
.....
.....



3. **Candidate Application (To be completed if the candidate is submitting the application)**

3.1 Please state the form of identification submitted with this application:

.....

(Failure to include a copy of identification with Form RC 1 may lead to a delay in processing your application)

4. **Centre Application (To be completed by the Centre Contact applying on behalf of the candidate)**

4.1 I confirm that the Centre has checked its records and are satisfied that the candidate requiring the replacement certificate is indeed the person who they claim to be.

4.2 The Centre also confirms that records indicate the candidate passed the HABC examination for which they are applying for a replacement certificate.

4.3 Please acknowledge agreement with points 4.1 and 4.2 by ticking (✓) the following box
 (Failure to tick the box may lead to a delay in processing the application)

5. **Payment Details**

5.1 If you are required to pay for the replacement certificate, please select the means of payment from the list below and complete the details accordingly:

Credit/Debit Card

Card type (Visa/Master Card/American Express):

Card Number: __ __ __ __ | __ __ __ __ | __ __ __ __ | __ __ __ __

Valid From: __ __ | __ __ Expiry Date: __ __ | __ __

Issue number __

Security Code (Last 3 digits on back of card): __ __ __

Cardholder Name:

Cardholder Signature:

Address where the card is registered:

.....

Invoice

Please provide HABC Centre number: _ _ _ _ _

Purchase order reference:

Cheque

Please find enclosed a cheque for the sum of
(Cheques should be made payable to HABC)

£		.
---	--	---

6. Declaration

- 6.1 I confirm the information contained within this application form is to the best of my knowledge accurate and not intended to mislead.
- 6.2 I agree to submit damaged certificates to HABC with the completed application for a replacement certificate, Form RC 1. (Including those with incorrect spellings of learners names)
- 6.3 Likewise, I agree that any lost certificates subsequently found will be returned to HABC.
- 6.4 Please sign and date your application:

Signature:

Print Name:

Date:

HABC Replacement Certificates
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates



HABC Examination Feedback Form (Form EF 1)

Document Title: Examination Feedback Form (Form EF 1)		Procedure No.: PME045
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0



EXAMINATION FEEDBACK (FORM EF 1)

1. Providing Feedback

1.1 Please complete each section of the form accordingly. Your feedback is valued and will be used to help improve the quality and service provided by HABC. Constructive feedback will also be used to secure the integrity of future HABC examinations/assessments.

1.2 All Approved HABC Centres are encouraged to ask Invigilators/Nominated Tutors/Assessors to fill in this form EF 1 after each examination and return to HABC with all examination material.

2. Centre Details

Centre Name:	Centre Number:
Examination Title:	Examination Paper Code:
Examination Date:	Date Examination Papers Arrived:
Contact Name:	Tel:

2.1 Was the examination paperwork accurate? (Please ✓ appropriately)

Yes No

If no, please provide details:
.....
.....

2.2 Did the examination paper provide full coverage of the syllabus? (Please ✓ appropriately)

Yes No

If no, please explain why not:
.....
.....

2.3 Was there sufficient time for candidates to complete the examination? (Please ✓ appropriately)

Yes No

If no, how much additional time would be required to complete the examination (Please ✓ appropriately)

0 – 10 mins

10 – 20 mins

20 – 30 mins

2.4 Were the examination questions appropriate for this level of candidate? (Please ✓ appropriately)

Yes No

If no, please provide reasons:

.....

2.5 Were questions written in an unclear and/or biased language that led to candidates failing to understand any questions? (Please ✓ appropriately)

Yes No

If yes, please provide the question number and query raised:

.....

.....

2.6 Please add any additional comments that you believe will help with future examination integrity:

.....

.....

.....

2.7 Name:..... Signature:.....

Position: Date:



HABC Malpractice Guidance Notes

Document Title: Malpractice Guidance Notes		Procedure No.: PMEA046
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01



MALPRACTICE GUIDANCE NOTES

1. Introduction

- 1.1 The confidence in HABC's qualifications can be badly undermined by allegations of malpractice.
- 1.2 Therefore it is important that Centres have procedures in place for dealing with and investigating all malpractice allegations made against a Centre or Nominated Tutor or those who invigilate or assess. All Centres must also ensure that their Nominated Tutors and Invigilators/Assessors understand the nature and potential consequences of malpractice.
- 1.3 HABC will launch a full investigation of any alleged or suspected malpractice and will take all necessary steps to protect the qualifications and their integrity. Any significant malpractice examples such as deliberate fraudulent activities will be reported to the Regulatory Authorities and other agencies as required.
- 1.4 Malpractice records are processed confidentially and securely at HABC and are reviewed on a regular basis. Any information which is relevant to HABC operations within the area is reported annually to regulators as required.
- 1.5 Any cases of alleged or suspected malpractice found by Centre staff must be reported, in writing, to the Operations Manager. Please refer to section 4 of this document for procedures on reporting suspected malpractice.
- 1.6 Centre staff must also record and supply HABC with all information relevant to any internal investigations, outcomes and subsequent actions taken.
- 1.7 Failure to cooperate will lead to certificates not being issued and future entries and registrations not being accepted.

2. Examples of Malpractice:

- 2.1 Possible examples include:
 - 2.1.1 The noncompliance with assessment and examination procedures;
 - 2.1.2 A HABC registered Centre or Nominated Tutor abusing their position;
 - 2.1.3 The misrepresentation or falsification of an HABC qualification, for example, promoting a non-HABC accredited course as an HABC-accredited course;
 - 2.1.4 Providing misleading information to HABC regarding Centre and Nominated Tutor activities;



- 2.1.5 Withholding requested information from HABC regarding Centre and Nominated Tutor activities;
 - 2.1.6 Falsification of authenticity by any Candidate, Nominated Tutor or Centre, (i.e. an individual fraudulently taking an examination on behalf of a registered candidate);
 - 2.1.7 The issuing of fraudulent certificates; and
 - 2.1.8 Falsifying certificates.
- 2.2 The list above is not exhaustive.
- 2.3 HABC will execute proper inspection of all cases of reported malpractice, recording findings, outcomes and/or any subsequent sanctions/actions taken. This may include the audit team conducting a follow-up visit and the Centre being investigated.
- 2.4 If any possible cases of malpractice are discovered during Centre visits or marking/moderation of assessments, these will also be reported to the Operations Manager.
- 2.5 Any HABC internal staff connected with the administration of HABC qualifications who suspect malpractice will also report their findings to the Operations Manager.
3. **Identifying Malpractice**
- 3.1 Malpractice cases are most likely to be identified as a result of information from one or more sources:
- 3.1.1 The findings of a quality audit;
 - 3.1.2 Candidates;
 - 3.1.3 Examiners;
 - 3.1.4 Invigilators/Assessors;
 - 3.1.5 Staff at HABC;
 - 3.1.6 Local Authority Trading Standards/Environmental Health departments;
 - 3.1.7 Another Awarding Organisation;
 - 3.1.8 Other third-party information;
 - 3.1.9 Outside training providers;
 - 3.1.10 Ofqual or other Regulator;



- 3.1.11 An approved Centre; and
 - 3.1.12 A registered Nominated Tutor.
- 3.2 If an HABC investigation finds that the Centre in question lacks sufficient quality assurance procedures, such as those detailed below, to address suspected cases of malpractice, then the Centre may be suspended until the issue has been corrected.
- 3.3 The adopted investigation procedure may differ according to circumstances, for example, if the allegation relates to a Centre or to an individual. It is crucial in all cases that Centres are fully aware of what procedures will be adopted where malpractice is alleged. More importantly, Centres must cooperate fully with HABC investigations, or any investigations made by other accrediting body or Regulatory Body.
4. **Procedures for Malpractice Suspected by an Approved Centre**
- 4.1 The following actions must be taken by an Approved Centre whenever malpractice is suspected:
- 4.1.1 The Centre Contact at the Centre will assume overall responsibility for any internal investigations;
 - 4.1.2 As soon as malpractice is suspected, the Quality Assurance Manager must inform the Operations Manager of their intent to investigate an alleged case of malpractice;
 - 4.1.3 All parties concerned must also be notified of the nature of the allegation in writing, and advised that action will be taken;
 - 4.1.4 An immediate internal investigation should now begin;
 - 4.1.5 Once the investigation is completed, the Centre Contact must provide a written report explaining the nature of the allegation(s), including full details of the internal investigation procedure;
 - 4.1.6 This report, plus any other relevant evidence, must then be submitted under confidential cover to the HABC MEA Operations Manager;
 - 4.1.7 The report must be signed by the Centre Contact at the Centre, to act as a declaration that the information provided represents a full and accurate account of the incident; and
 - 4.1.8 The Centre will also be expected to provide any other information directly relevant to case to the HABC Operations Manager, if requested.



5. **Procedures for Malpractice Suspected by HABC**

- 5.1 The following procedure should be implemented immediately if HABC receives information regarding an alleged case of malpractice, so that the incident may be fully and correctly investigated:
- 5.1.1 At his/her discretion, the Operations Manager shall consult with the complainant and any other parties relevant to the incident;
 - 5.1.2 If the Operations Manager is of the opinion that the complaint is justifiable, she/he will formally notify the person(s) concerned in writing;
 - 5.1.3 All other relevant parties will receive appropriate details in writing regarding the offence and will be asked to provide a response in writing;
 - 5.1.4 All written responses should be submitted within 20 working days;
 - 5.1.5 After all responses have been received and considered by the Operations Manager, if she/he believes that the complaint should be upheld, she/he shall so advise the complainant in writing, formally notifying the Centre/Nominated Tutor concerned in writing of HABC's decision. Where appropriate, the Operations Manager will inform other relevant parties and provide feedback;
 - 5.1.6 If at this point the Operations Manager decides not to uphold the complaint, she/he shall so advise the complainant and, if appropriate, the party concerned, in writing;
 - 5.1.7 The complainant may challenge the decision by appealing directly to HABC in writing;
 - 5.1.8 This appeal process is carried out by considering the written representations from the complainant and other relevant parties already submitted to the Operations Manager;
 - 5.1.9 If HABC believes that a genuine case has been made, the Head of the Awarding Organisation will, in addition to informing the other persons involved, formally inform in writing the Centre/Nominated Tutor concerned of the final decision taken by HABC;
 - 5.1.10 If HABC upholds the accusation of malpractice, immediate suspension of the Centre and/or Nominated Tutor may occur;
 - 5.1.11 Where appropriate, HABC also reserves the right to immediately suspend the Centre/Nominated Tutor prior to the official conclusion of the investigation;



- 5.1.12 Possible courses of action for candidates affected by recorded malpractice may include:
 - 5.1.12.1 Resubmitting coursework;
 - 5.1.12.2 Resitting the examination; and
 - 5.1.12.3 Retaking the course;
- 5.1.13 If a complaint of malpractice against a candidate is upheld, an alternative penalty may be imposed. This may include his/her certificate(s) being invalidated and withdrawn.



HABC Enquiries and Appeals Procedure

Document Title: Enquiries and Appeals Procedure		Procedure No.: PME047
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.01

ENQUIRIES AND APPEALS PROCEDURE

1. Enquiries

1.1 The following Enquiries Procedure provides guidelines for Centres to check with HABC:

1.1.1 Assessment decisions affecting candidates' results.

1.1.2 Decisions other than assessment decisions which may affect Centres or candidates, such as;

1.1.2.1 Enquiries by candidates challenging results should first of all be lodged in writing and discussed with the designated Centre Contact. The Centre Contact will record and document the complaint in outline.

1.1.2.2 Where the outcome at this stage of the enquiry does not satisfy the candidate, or where the candidate believes that the Centre's Enquiries Procedure was unfairly carried out, the candidate may contact HABC's Operations Manager directly.

1.1.2.3 Enquiries from candidates or Centres on behalf of candidates should be made in writing and sent directly to HABC. The written enquiry should be sent to the Operations Manager at HABC within ten working days of the Centre's response to the candidate's enquiry.

1.1.2.4 The HABC Operations Manager will acknowledge the enquiry in writing within two working days of receipt of the enquiry.

1.1.2.5 If HABC's investigations carried out by the Operations Manager identify there were errors in marking or other flaws in the processing of the assessment, a result may be adjusted by HABC to the appropriate level.

(a) Enquiries submitted to HABC requiring the re-marking of multiple-choice examinations will be carried out manually.

1.1.2.6 Ordinarily the HABC Operations Manager will provide a full response to the enquiry, in writing, within ten working days of receipt of the initial enquiry. Response times may vary depending on the complexity of the matter and nature of the appeal.

2. Appeals



2.1 HABC will consider Appeals from candidates, Centres or other organisations approved by it. Centres subject to sanctions may appeal on the following grounds:

2.1.1 Where sanctions have been applied to the Centre as a result of an investigation made by HABC.

2.1.2 The outcome of a monitoring and evaluation visit or an inspection of assessment.

2.1.3 An appeal against a decision by HABC not to extend approval.

2.1.4 Decision by HABC to suspend or remove approval.

2.1.5 Rejecting an organisation application for Centre Approval

2.2 Candidates may appeal directly to HABC if:

2.2.1 They are dissatisfied with a decision which follows an enquiry into the results of assessment.

2.2.2 If particular requirements for their assessment have not been properly recognized by the Centre.

2.2.3 They feel the premises/environment for the assessment disadvantaged them.

2.2.4 If they were not satisfied with the conduct of the examination and believed it disadvantaged them.

3. **Appeals Procedure**

3.1 Centres, organisations and candidates are advised that all appeals to HABC must be submitted with the Appeals Form (AF 1), see PME048, and addressed for the attention of the Operations Manager. Candidates can appeal individually, or request the Centre to submit the Appeals Form on their behalf. The following procedure will apply:

3.1.1 The Appeals Form must be completed in full, and any supporting documents attached so that all information necessary to the adjudication is available at the outset.

3.1.2 Appeals must be received by HABC within 20 working days from receiving the response from HABC.

3.1.3 HABC will acknowledge receipt of a completed appeals form, Form AF 1 within ten working days.



- 3.1.4 Ordinarily, the written outcome of the appeal should be communicated within 20 working days from receipt of the complaint. Response times may vary depending on the complexity of the matter and nature of the appeal.
- 3.1.5 The Operations Manager will set up an Appeals panel consisting of at least one independent member, who is not, and has not been at any time during the past seven years, a member of the Awarding Organisation's Board, or an employee or examiner of the Awarding Organisation.
- 3.1.6 The Appeals panel will attempt to conclude its deliberations in the shortest time possible consistent with the nature of the necessary enquiries into the matters raised.
- 3.1.7 Actions taken by the Panel may involve visits to Centres to review accommodation for assessment, interviews with candidates, interviews with Nominated Tutors or other Centre staff in order to arrive at a full understanding of the appeal circumstances.
- 3.1.8 Outcomes of the Appeal will be sent in writing to the Centre Contact by the Operations Manager.

4. **Appeals Fees**

- 4.1 Approved Centres may be charged a fee for each visit to the Centre. If the Appeal is upheld, all fees for candidates or groups of candidates will be refunded in full. Should a Centre visit be deemed unnecessary for the Appeal, there will be no Centre visit fee.

5. **Unresolved Appeals**

- 5.1 Should a candidate be dissatisfied with the decision of the Appeals Panel, a request may be made for the matter to be considered by the Regulator.



HABC Appeals Form (AF 1)

Document Title: Appeals Form (AF 1)		Procedure No.: PME048
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.01



APPEALS FORM (AF 1)

1. Appeals Form

1.1 In order to lodge your appeal properly with HABC, please provide the following information:

1.1.1 Candidate's name:

1.1.2 Candidate's address:

.....

1.1.3 The HABC Approved Centre number through which the candidate took the examination:

1.1.4 The examination taken, including grade:

.....

1.1.5 Date of the examination:

1.1.6 The location at which it was taken:

1.1.7 A brief description of the grounds of the appeal:

.....

.....

1.1.8 Signed:

1.1.9 Print candidate's full name

2. Please attach a detailed description of the appeal to this form, together with a copy of the examination report form and any other documents you feel are helpful to your appeal.

Please return to:

HABC Appeals Department
HABC Middle East Asia
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates



HABC Complaints

Document Title: Complaints		Procedure No.: PMEA049
Date Issued: 11 February 2011	Last Revised: 24 November 2011	Revision No.: 0.02

COMPLAINTS

1. Introduction

- 1.1 In the event of a complaint arising at a Centre, the designated Centre Contact should raise the matter with the Operations Manager at HABC within ten working days.
- 1.2 Once initial contact has been made with the Operations Manager, the Centre Contact should produce a document providing full details of the complaint and return to the Operations Manager at HABC.
- 1.3 In seeking a resolution to any problem raised by Centres, the Operations Manager will, as appropriate, collect evidence from all relevant sources to inform HABC of the complaint.
- 1.4 As soon as reasonably possible the Operations Manager, or other designated person, will inform the Centre Contact concerned of the outcome of the investigations.
- 1.5 HABC will attempt to resolve complaints and inform Centres of the outcome within one month of receiving notice of a complaint. Where this is not possible owing to the complexities of the investigations, the Centre concerned will be kept regularly informed of progress until the resolution is announced.
- 1.6 Upon further investigation, if it transpires that the allegations of plagiarism are in fact cases of Centre/Nominated Tutor malpractice, the Centre Contact should follow HABC procedures on malpractice. (See PME046 – Malpractice Guidance Notes).
- 1.7 Appeals against decisions made by HABC may be lodged. Please refer to PME047 for Enquiries and Appeals Procedures.
- 1.8 A decision made by the Operations Manager will be final and binding. There is no obligation for the Operations Manager to provide a written explanation for the decision taken. However;
- 1.9 Regulatory criteria allows for the final right of appeal to the Regulator.



HABC Plagiarism

Document Title: Plagiarism		Procedure No.: PMEA050
Date Issued: 11 February 2011	Last Revised: 21 September 2011	Revision No.: 0.01

PLAGIARISM

1. Introduction

- 1.1 Plagiarism is as, 'to use another person's idea or a part of his/her work and pretend that it is your own'
- 1.2 Candidates may be suspected of plagiarism if they:
 - 1.2.1 Submit work not completed by themselves
 - 1.2.2 Use part or whole assignments of other, past or present candidates, for completion of their own assignment
 - 1.2.3 Are deemed to be copying another's work under examination conditions
 - 1.2.4 Use content from other sources without due recognition
- 1.3 Candidates may stand accused of plagiarism by the following people:
 - 1.3.1 Examination Invigilator/Assessor;
 - 1.3.2 Assignment marker;
 - 1.3.3 OMR operator; and
 - 1.3.4 Assignment verifier (where applicable)
- 1.4 All cases of suspected plagiarism will be investigated by HABC. Any required action deemed necessary to maintain the integrity of the qualifications will be taken. Centres will be informed in writing of the details of each case submitted.
- 1.5 HABC takes allegations of plagiarism seriously and all reported incidents are stored confidentially at HABC.

2. Centre Procedures

- 2.1 Centres are required to work proactively to help reduce cases of plagiarism. Centres can therefore be expected to:
 - 2.1.1 Advise candidates of examples of plagiarism and means of identification
 - 2.1.2 Advise candidates of the consequences of plagiarism
 - 2.1.3 Advise Nominated Tutors of examples of plagiarism
 - 2.1.4 Ensure authenticity of assignments with close monitoring throughout the duration of the course



2.2 Where Centres suspect cases of plagiarism, the following procedures should be followed:

- 2.2.1 The Centre Contact should launch a full internal investigation into the allegations of suspected plagiarism.
- 2.2.2 The Centre Contact should inform relevant stakeholders of the allegations, and advise of actions needed to proceed.
- 2.2.3 Upon completion of the internal investigation, the Centre Contact should write a written report stating the nature of the allegation and details of the outcome of the internal investigation.
- 2.2.4 The report must be signed by the Centre Contact as a declaration that the report content provides an accurate description of the incident. It is advised that all supporting materials are submitted to the HABC Operations Manager with the report.
- 2.2.5 In cases whereby Centre malpractice may exist, Centres should refer to PMEAO46 – Malpractice Guidance Notes.

3. **HABC Procedures**

3.1 Once HABC receives the Centre Contact's report into the suspected case of plagiarism and believes there is a case for plagiarism, the following actions will be taken:

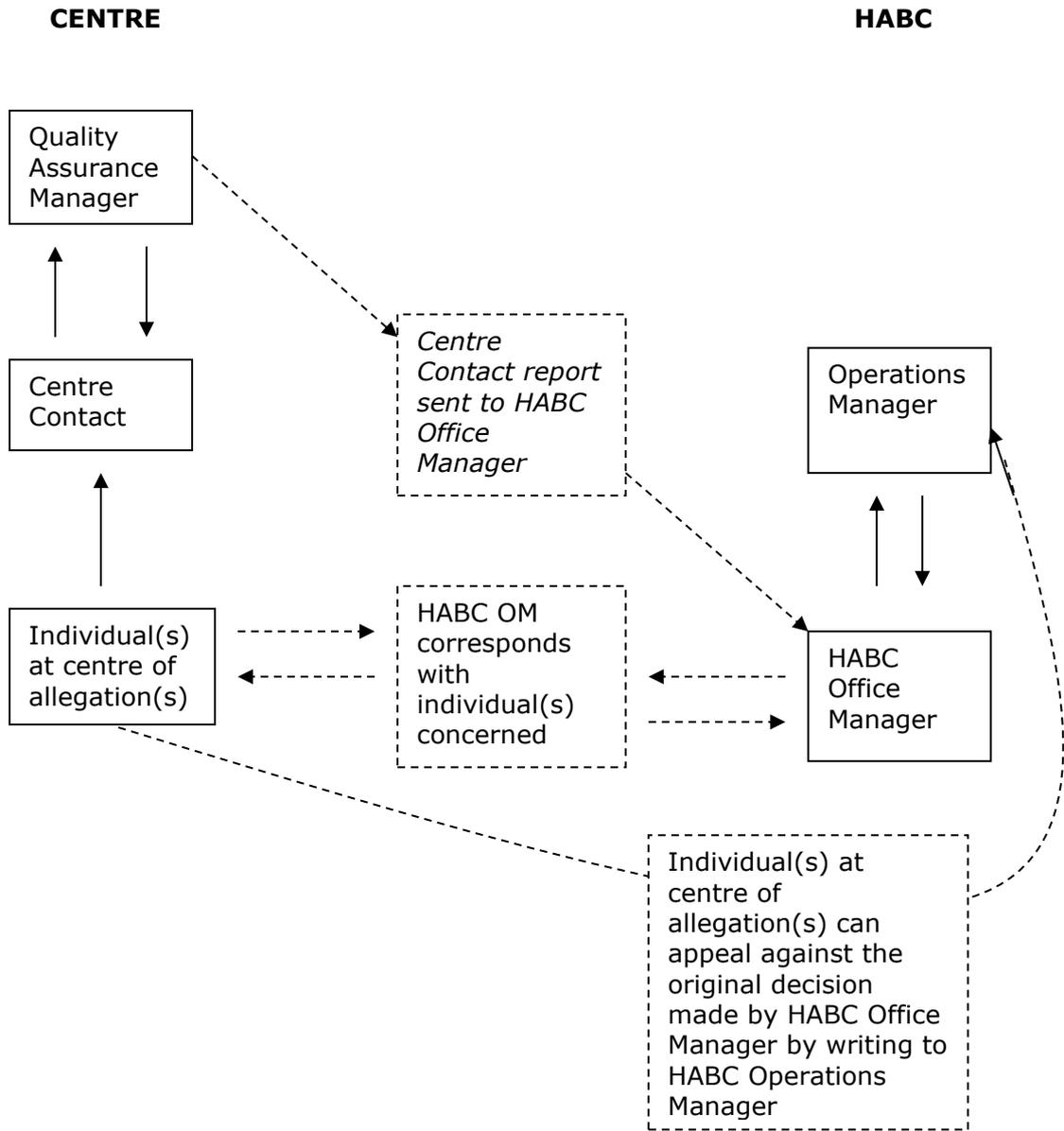
- 3.1.1 The Operations Manager at HABC will consult with the individuals making the allegation and all relevant parties at his/her discretion.
- 3.1.2 Should the Operations Manager decide that the allegations be upheld, she/he will write to the individual(s) concerned via the Centre. A written response should be submitted within 28 days of receipt.
- 3.1.3 If all responses have been collated and given thought, and allegations are still upheld by the Operations Manager she/he will inform both the candidate and the Centre in writing of the decision by HABC via the Centre.
- 3.1.4 If the Operations Manager decides not to uphold the allegation, she/he will notify the candidate and the Centre in writing of the decision made by HABC via the Centre.
- 3.1.5 Candidates may be subject to disqualification from the qualification and subsequent HABC qualifications if an allegation of plagiarism is upheld. Under certain circumstances, previous qualifications may be subject to invalidation and decisions retracted.



- 3.1.6 If the candidate or Centre involved in the allegation wish to challenge the decision made by the Operations Manager, they should do so by writing to the Head of the Awarding Organisation at HABC within 28 days of notification.
- 3.1.7 The 'challenge' of the decision made by the Operations Manager will solely refer to written documents provided by those who made the allegations. Other supporting documents originally sent to the Operations Manager relating to the case may also be used in the decision-making process.
- 3.1.8 Should the Head of the Awarding Organisation decide to accept the challenge and overturn the original decision, the candidate will be allowed to complete the qualification.
- 3.1.9 If however, the Head of the Awarding Organisation considers the allegation valid, the Operations Manager will notify in writing both the candidate and the Centre of the decision made by HABC via the Centre. (Refer to 3.1.5 for possible actions against the candidate)
- 3.1.10 Upon further investigation or receipt of response documents, it transpires that the allegations of plagiarism are in fact cases of Centre/Nominated Tutor malpractice, the Centre Contact should follow HABC procedures on malpractice.
- 3.2 The decision made by the Head of the Awarding Organisation will be final and binding. There is no obligation for the Head of the Awarding Organisation to provide a written explanation for the decision taken.
- 3.3 HABC will at all times attempt to protect the identity of those making allegations of examination plagiarism.



4. **Plagiarism Organisational Hierarchy (MEA Office)**





HABC Copyright

Document Title: Copyright		Procedure No.: PMEA051
Date Issued: 11 February 2011	Last Revised: 3 January 2012	Revision No.: 0.01



COPYRIGHT

1. Introduction

- 1.1 **Copyright** – “symbolized "©" – is a legal concept, giving the creator of an original work exclusive rights to it.
- 1.2 All HABC publications are protected by the Copyright Designs and Patents Act, 1988. Infringement may lead to prosecution and claims for damages
- 1.3 All aspects of this HABC Core Manual (including each individual annex) are copyright materials of Highfield Awarding Body for Compliance Limited (HABC) which are protected by national and international laws.
- 1.4 The contents of the HABC Core Manual may not be reproduced or transmitted in any form without the prior permission of HABC and subsidiary copyright holders.
- 1.5 Any authorized copying must not obliterate any existing identification, for example, title and copyright symbol.

© HABC, 2012

All rights reserved



HABC Use of Languages

Document Title: Use of Languages		Procedure No.: PMEA052
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.02



USE OF LANGUAGES

1. Introduction

- 1.1 HABC currently operates throughout the world and has qualifications, specifications and assessment materials that are expressed in English.
- 1.2 In accordance with the Regulatory Authority's criteria for Reasonable Adjustment and Special Consideration, the Awarding Organisation will allow assessment in British Sign Language.
- 1.3 HABC does not normally offer examinations in Welsh or Irish (Gaelige). Should the Awarding Organisation be requested to provide qualifications or assessments in Wales or Northern Ireland in the future, material will be expressed in Wales in Welsh and English, and in Northern Ireland in Irish (Gaelige) and English.
- 1.4 When a Centre has a need for materials or assessment material to be produced in Welsh or Irish (Gaelige), the Head of Centre must write to the Examinations Department at HABC stating the specific requirements of the Centre. HABC will acknowledge the request in writing within two working days of receipt.
- 1.5 The examinations for the PIC Scheme will be offered in 3 different languages included English and Arabic.



HABC Translation Policy

Document Title: Translation Policy		Procedure No.: PMEA053
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.02



TRANSLATION POLICY

1. Language Translators

- 1.1 Please note that HABC **do not** allow the use of translators to assist candidates who do not speak, write or understand the language of assessment.
- 1.2 HABC do however allow the provision of a Reader and/or Writer for candidates who do not speak the language of assessment as their first language, as well as the use of translation dictionaries. For full details please see the Reasonable Adjustments Policy (PMEA032). Centres wishing to provide these reasonable adjustments must notify HABC prior to the assessment taking place and in accordance with the requirements of PME032.

2. Translated Examination Papers

- 2.1 HABC will be producing translated papers across our range of qualifications in a selection of different languages. For more information and to register your interest in translated papers, please visit the Translation Request webpage on the HABC website, which can be found at the following link:
<http://www.highfieldabc.com/approved/centrelangsummary.aspx>
- 2.2 For further details on any of the above, please contact HABC on 00 9714 449 4042 or e-mail your Account Manager directly.
- 2.3 The examinations for the PIC Scheme will be offered in 3 different languages included English and Arabic.



Course Specification

Level 2 Person in Charge

Document Title: Course Specification Level 2 Person in Charge		Procedure No.: PMEA054
Date Issued: 11 February 2011	Last Revised:	Revision No.: 0.0



COURSE SPECIFICATION PERSON IN CHARGE LEVEL 2 CERTIFICATION

1. **Title – Person in Charge Level 2 Certification**
 - 1.1 **Target Group**
 - 1.1.1 The Person in Charge Level 2 Certification is intended for persons directly responsible for the food related operations in certain types of food establishments with direct authority, control or supervision over employees who engage in the storage, preparation, display or service of foods.
 - 1.1.2 The types of establishments are listed in the Guidance Document issued by the Food Control Department of Dubai Municipality
2. **Level 2 PIC Competency Requirements**
 - 2.1 Personal Hygiene
 - 2.1.1 Demonstrate commitment to good food hygiene practice
 - 2.1.2 Promote a high standard of personal hygiene throughout the food operation
 - 2.1.3 Explain the implications of foodborne illness in the food operation
 - 2.1.4 Ensure food workers suffering from foodborne illness do not work in contact with open food.
 - 2.2 Structural Hygiene
 - 2.2.1 Identify or report structural deficiencies in the food operation
 - 2.2.2 Manage and maintain an effective pest control system
 - 2.2.3 Manage and maintain a satisfactory waste disposal system.
 - 2.3 Food Safety Operations
 - 2.3.1 Manage and maintain an effective cleaning programme
 - 2.3.2 Where applicable to their job: ensure food safety during product purchasing
 - 2.3.3 Ensure food safety during delivery receipt
 - 2.3.4 Ensure food safety during storage
 - 2.3.5 Ensure food safety during product preparation
 - 2.3.6 Ensure food safety during cooking/processing/cooling/holding/service of food



- 2.3.7 Encourage good hygiene practice during the transportation of food
- 2.3.8 Where applicable to their job, ensure products are labelled correctly
- 2.4 Food Safety Management
 - 2.4.1 Manage/review food safety complaints effectively
 - 2.4.2 Manage and maintain food safety documentation and records
- 2.5 Staff Training and Management
 - 2.5.1 Ensure that the food safety training needs and competencies of staff are met
- 2.6 Food Safety Regulations
 - 2.6.1 Demonstrate an awareness of the legislative requirements in Dubai relating to their business
 - 2.6.2 Provide assistance to food inspection officers
 - 2.6.3 Follow up non-conformances with corrective action.
- 3. **Recommendation of Prior Learning**
 - 3.1 There are no pre-requisites for this certification. It is advised that candidates have a basic knowledge of food safety.
- 4. **Guided Learning Hours**
 - 4.1 Guided learning hours for this certification are 10 hours excluding the one hour examination. (2 day course)
- 5. **Restrictions on Candidate Entry**
 - 5.1 Candidates must have undertaken a course of instruction approved by HABC and covering the syllabus prior to taking the examination. Candidates who already hold an Ofqual accredited Level 2 qualification (or higher) will be exempt from attending the first day of the two day course.
- 6. **Special Needs**
 - 6.1 HABC have measures in place for delegates with special needs.
- 7. **Certification Structure**



7.1 The certification is assessed by a 30 question multiple-choice examination. Successful candidates must achieve a score of at least 20/30. A Merit will be awarded for a score of at least 24/30.

7.2 The examination paper is set and marked by HABC. The duration of the examination is 1 hour.

8. **Examination Results and Certificates**

8.1 Following the examination a list of results will be provided stating whether candidates have received a merit, passed or failed. Certificates for successful candidates will be dispatched for distribution by Training Organisations.

9. **Certification Validity**

9.1 Level 2 PIC certification is valid for 5 years from the date of certification.

9.2 All Level 2 PIC's will need to undertake a refresher course and examination no later than 3 years from the date of the initial certification.

10. **Essential Reading**

10.1 The Highfield Person in Charge Food Safety Handbook

10.2 The Food Safety Handbook (Level 2) – Richard Sprenger

10.3 The Highfield Person in Charge Question of Food Safety – Richard Sprenger

11. **Potential for Progression**

11.1 Progression: The HABC Level 2 or Level 3 Award in Food Safety and the Person in Charge Level 3 Certification.



Course Specification

Level 3 Person in Charge

Document Title: Course Specification Level 3 Person in Charge		Procedure No.: PMEA055
Date Issued: 11 February 2011	Last Revised: N.A.	Revision No.:0.0



COURSE SPECIFICATION PERSON IN CHARGE LEVEL 3 CERTIFICATION

1. **Title – Person in Charge Level 3 Certification**
- 1.1 **Target Group**
 - 1.1.1 The Person in Charge Level 3 is a certification aimed at caterers and other food handlers. The qualification is intended for candidates already working in catering that have a supervisory role.
 - 1.1.2 The types of establishments are listed in the Guidance Document issued by the Food Control Department of Dubai Municipality.
2. **Level 3 PIC Competency Requirements**
 - 2.1 Personal Hygiene
 - 2.1.1 Demonstrate commitment to good food hygiene practice
 - 2.1.2 Promote a high standard of personal hygiene throughout the food operation
 - 2.1.3 Explain the implications of foodborne illness in the food operation
 - 2.1.4 Ensure food workers suffering from foodborne illness do not work in contact with open food
 - 2.2 Structural Hygiene
 - 2.2.1 Identify or report structural deficiencies in the food operation
 - 2.2.2 Manage and maintain an effective pest control system
 - 2.2.3 Manage and maintain a satisfactory waste disposal system
 - 2.3 Food Safety Operations
 - 2.3.1 Manage and maintain an effective cleaning programme
 - 2.3.2 Where applicable to their job: ensure food safety during product purchasing
 - 2.3.3 Ensure food safety during delivery receipt
 - 2.3.4 Ensure food safety during storage
 - 2.4 Ensure Food Safety during Product Preparation



- 2.4.1 Ensure food safety during cooking/processing/cooling/holding/service of food
- 2.4.2 Encourage good hygiene practice during the transportation of food
- 2.4.3 Where applicable to their job, ensure products are labelled correctly
- 2.5 Food Safety Management
 - 2.5.1 Manage and maintain the traceability system within their area of the food operation.
 - 2.5.2 Manage/review food safety complaints effectively
 - 2.5.3 Implement and review the food safety management system(based on HACCP principles)
 - 2.5.4 Conduct Internal Audits
 - 2.5.5 Manage and maintain food safety documentation and records
- 2.6 Staff Training and Management
 - 2.6.1 Ensure the food safety training needs and competencies of staff are met
- 2.7 Food Safety Regulations
 - 2.7.1 Demonstrate an awareness of the legislative requirements in Dubai relating to their business
 - 2.7.2 Provide assistance to food inspection officers
 - 2.7.3 Follow up non-conformances with corrective action.
- 3. **Recommendation of Prior Learning**
 - 3.1 There are no pre-requisites for this qualification. It is advised that candidates have a good knowledge of food safety.
- 4. **Guided Learning Hours**
 - 4.1 Guided learning hours for this qualification are 18 hours excluding the 2 hour examination. (3 day course)



5. **Restrictions on Candidate Entry**

- 5.1 Candidates must have undertaken a course of instruction approved by HABC and covering the syllabus prior to taking the examination. Candidates who already hold an Ofqual accredited Level 3 qualification (or higher) will only be required to attend a 1-day refresher training program.

6. **Special Needs**

- 6.1 HABC have measures in place for delegates with special needs.

7. **Qualification Structure**

- 7.1 The qualification is assessed by a 60 question multiple-choice examination. Successful candidates must achieve a score of at least 35/60. A Merit will be awarded for a score of at least 50/60.
- 7.2 The examination paper is set and marked by HABC. The duration of the examination is 2 hours.

8. **Examination Results and Certificates**

- 8.1 Following the examination a list of results will be provided stating whether candidates have passed or failed. Certificates for successful candidates will be dispatched for distribution by Training Organisations.

9. **Certification Validity**

- 9.1 Level 3 PIC certification is valid for 5 years from the date of certification.
- 9.2 All Level 3 PIC's will need to undertake a refresher course and examination no later than 3 years from the date of the initial certification.

10. **Suggested Reading**

- 10.1 The Highfield Person in Charge Food Safety Handbook
- 10.2 Supervising Food Safety (Level 3). Richard Sprenger.
- 10.3 The Highfield Person in Charge Question of Food Safety. Richard Sprenger.

11. **Potential for Progression**

- 11.1 Progression routes include the Ofqual Level 3 Award in Supervising Food Safety or the Level 4 Award in Managing Food Safety.



PIC Frequently Asked Questions

Document Title: PIC Frequently Asked Questions		Procedure No.: PME056
Date Issued: 11 February 2011	Last Revised: 12 July 2011	Revision No.: 0.01



PIC FREQUENTLY ASKED QUESTIONS

1. Who does it apply to?

A PIC is required in all types of food establishments.

2. Are there any minimum qualifications to become a PIC?

No. There are no minimum qualifications to become a PIC. However, PICs should pass the certification relevant to their type of food business.

3. Why is a PIC important?

Food safety is a critical part of operating a food business. Illnesses resulting from improper food handling and preparation result in unnecessary human suffering and a lot of financial loss. Dubai Municipality monitors food safety standards and conducts inspections at these food businesses to help prevent problems occurring. From the business perspective, operating a safe, sanitary food establishment can help to prevent illnesses and to make good economic sense. A well-run operation, protects public health, reduces food waste, attracts customers and reduces the risk of negative publicity.

Food businesses are one of the key contributors to the Dubai economy and they have a strong reputation for providing safe food to consumers. However, we do come across food businesses that violate food safety regulations and it is worrying that some businesses do it more often than others and put consumers at risk. In such establishments, owner/managerial control of food safety is usually very poor. People in a managerial role are either not trained well or are not involved in enforcing food safety practices in their business. For the success of any type of business, managers play an important role. In the same way, management control is critical to ensuring food safety in a food business and we need well-trained managers who can take food safety related decisions correctly and quickly.

Training of food handlers has been mandatory since 2005 and several thousands of food handlers have been trained to date. However, the expected outcomes in food safety were not achieved because most of these food handlers worked under managers who did not have the necessary skills and knowledge to facilitate food safety related activities. We realise that training programmes in the past were focused on food handlers who often find it difficult to put into practice what they have learned in the training because of the lack of facilities or encouragement from the management. Appointing a PIC adds an onsite level of protection for day-to-day food safety. People who complete PIC training may also have the opportunity to obtain an internationally recognised qualification stating they have skills and knowledge to handle food safely.

From a regulator's point of view, the food inspection officers find it difficult to communicate with the food business when there is no designated person or point of contact and this often leads to confusion about the right thing to do when it comes to food safety. Unless there is a responsible person present in the facility, inspectors cannot provide recommended corrective actions for the violations found during the inspections.

When it comes to the trade sector, some of these food trading companies violate regulations while importing food into the country and most of these problems are detected at our ports. Such foods are either rejected at the ports or discarded and this causes huge economical loss to the trader and creates unnecessary work for all involved. Most of these problems can be prevented if a trader has a good understanding of the food standards and related requirements and corrects them at the country of origin.



The PICs will play an important role in ensuring food safety in their business, but the work of the PIC will not be limited to that. Consumers can contact the PIC for any food related complaints. Being a well-trained person, the PIC would be able to understand the consumer and should be capable of taking immediate corrective actions. In the end, it is all about protecting the health of consumers.

4. How many PICs does each organisation need and what are their training requirements?

Businesses need to appoint at least one PIC per premises. The chart below will provide you with information on the requirements based on business type. Please note that the Food Inspector will have the discretion to change the recommended levels of training based on the type of the business activity and the risk involved. The Inspector will nominate the person during the inspection.

PIC requirements are listed in the Table below:

Business Type	PIC Requirement	Recommended Qualification
Bakery/Confectionery Cat. I Meat, egg/cream/ milk based Products	One per shift present in the production area	At least one PIC with Level 3 training and others with Level 2 training
Bakery/Confectionery Cat. II Bread, chocolate, sweets, sugar confectionery	One per establishment	At least one PIC with Level 2 training
Fishmonger/ Fish stall	One per establishment	At least one PIC with Level 1 training
Butcher shop	One per establishment	At least one PIC with Level 1 training
Fruit and Vegetables stall Raw, whole vegetables only	One per establishment	At least one PIC with Level 1 training
Grocery Pre-packed food only	One per establishment	At least one PIC with Level 2 training
Departmental Store/Supermarket Cat. I Mixed activities, open display of open high risk foods and preparing to order	One in each counter where open high risk food is handled	At least one PIC for the store with Level 3 training and at least one PIC with Level 2 training in each counter where open high risk food is handled (delicatessen, salad counter)
Departmental Store/ Supermarket Cat. II Pre-packaged food only	One per shift	At least one PIC with Level 2 training
Vending Machine Requiring temperature control		License holder/manager with PIC with Level 2 training
Food kiosks Cat. I Low risk foods	One per establishment	License holder/manager with PIC with Level 1 training
Food kiosks Cat. II High risk foods	One per establishment	License holder/manager with PIC with Level 2 training
Catering company Cat. I With preparation at service site	One per shift per kitchen (depends on the size)	One PIC per kitchen with level 3 training
Catering company Cat. II With only hot holding at service site	One per shift	One PIC per site with level 2 training
Central Kitchens of restaurants or catering companies	One per shift per kitchen (depends on the size)	One PIC per kitchen with level 3 training
Hospital kitchen	One per shift present in the production area*	One PIC per kitchen with level 3 training
Nursing Home	One per shift present in the production area	One PIC per kitchen with level 3 training



Business Type	PIC Requirement	Recommended Qualification
Day Care, Pre-school, School Cat. I Production/preparation	One per shift present in the production area*	One PIC per kitchen with level 3 training
Day Care, Pre-school, School Cat. II Tea, coffee, snacks only	One per establishment	One PIC per kitchen with level 2 training
Restaurant Cat. I (That use complex processes involving cooling and reheating of cooked food)	One per shift present in the kitchen*	At least two PICs (the owner or manager or chef) per kitchen with level 3 training and others with level 2 training
Restaurant Cat. II (That have same day cook and service)	One per shift present in the production area*	PIC with Level 3 training
Cafeteria, café'	One per shift present in the kitchen	PIC with Level 3 training
Hotels	Need based	At least one PIC per kitchen with level 3 training and others with Level 2 training

5. Does the PIC have to be at the business all the time?

'One per establishment' – means that there should be at least one person in charge in each establishment. This requirement applies to low and medium risk businesses. In this case, the person in charge need not be present at all times, but it is strongly recommended that the person in charge is **present during the busiest times of the day.**

'One per shift' – means that there should be one PIC per shift per establishment. This requirement applies to high-risk food businesses that require continuous monitoring.

'One per shift present in the production area / kitchen' – means that there should be at least one PIC per shift in all important production areas or kitchen. This rule applies to larger food establishments with multiple kitchens or production areas that handle high-risk foods.

'One per shift per kitchen (depends on the size)' – means that the establishment may need additional PICs depending on the size of the operation. It will be at the discretion of the Food Inspection Officer to recommend the number of PICs required in the food business.

If the PIC is away (eg not on shift, on leave, sick), the business must still maintain food safety. The PIC can facilitate this by:

- sharing food safety knowledge with other staff
- training staff to take appropriate corrective actions when there is a problem
- developing work instructions that staff can follow to continue handling food safely.

6. When should the establishment appoint a PIC?

All food establishments should have a PIC by December 2011. There will be an implementation period that will begin in January 2011 and end in December 2011.

7. What if a PIC leaves?

Once the employment of a Person in Charge is terminated, establishments shall have thirty (30) days to employ a new Person in Charge Certified in Food Safety. The proposed Person in Charge should enrol for the training programme within 15 days.



8. **What if a PIC changes their details?**

The business owner must notify the food inspection officer of any changes regarding their existing PIC's contact details within seven days of becoming aware of the changes (eg phone number change, name change).

9. **Is the PIC solely responsible for food safety in a food business?**

No. Everyone who works in a food business has a responsibility to handle food safely.
Business owners/licence holders:

- need to ensure that all facilities are provided to ensure an effective food safety system
- need to ensure their business complies with the Food Code and other food safety requirements
- need to appoint a PIC
- will continue to be liable, as at present, if a food safety breach does occur

Food handlers:

- must have the skills and knowledge relevant to their food duties to keep food safe (eg a chef will need greater food safety skills and knowledge than a waiter or kitchen hand)

Person in Charge:

- Owner himself or a person nominated by the owner and works under the direction of the owner
- supervises food handling in the business to make sure it is being done safely
- needs to understand the overall food safety processes of the business as it applies to all staff

10. **What is a PIC Certificate?**

The PIC Food Safety certificate will be issued by Awarding Bodies approved by the Food Control Department and accredited by the Dubai Accreditation Department. A PIC certificate will state that the person it is issued to is qualified to be a PIC for a particular level.

The PIC certificate is valid for five years from the date of issue with a requirement for a refresher course before the end of three years. It is a legal requirement that all businesses keep a copy of their PIC certificate on the premises and produce it for inspection on the request of food inspection officers.

11. **What are the main roles of a PIC?**

The PIC is a person at supervisory level on duty during all operating hours, who is trained in the prevention of foodborne illness and injury. A PIC answers technical questions and provides coaching as needed for other employees to improve their performance at work.

The PIC has to perform the following duties to enforce the regulatory policies, procedures, and standards outlined in this book.

A PIC shall:

- Develop and implement policies and procedures to prevent foodborne illness;
- Ensure that all employees are fully trained before they start to work;
- Monitor employee activities to ensure compliance with food safety regulations, especially during receiving, preparation, display and storage of high-risk foods;
- Follow up food inspections conducted by the Food Control Department, and take corrective and preventive actions when necessary;
- Ensure in-house self-inspections of daily operations are conducted on a periodic basis to ascertain that food safety policies and procedures are being followed.



Specific tasks:

- Monitor employee hygiene, especially proper handwashing;
- Exclusion of ill employees;
- Monitor cooking and proper cooling;
- Monitor cleaning and sanitising of equipment and utensils;
- Receiving food;
- Follow up food related complaints;
- Ensures that no unauthorised persons are allowed in the food preparation area/kitchen
- Ensures that those authorised to enter the kitchen will comply with the rules

In a large establishment that has separate outlets or multiple departments, such as a hotel or a supermarket, there may be more than one PIC. The duties could change depending on the size and type of business. In larger establishments that have a designated Hygiene Officer, Food Safety Manager or a Quality Assurance Manager, or a Department, the role of the PIC will be limited. It is strongly recommended that the QA Manager or the Food Safety Manager clearly identifies and documents the role of the PIC.

12. What are the training requirements?

Competency requirements of a certified Person in Charge with Food Safety Course – Level 2

Personal Hygiene

1. Demonstrate commitment to good food hygiene practice
2. Promote a high standard of personal hygiene throughout the food operation
3. Explain the implications of foodborne illness in the food operation
4. Ensure food workers suffering from foodborne illness do not work in contact with open food

Structural Hygiene

5. Identify or report structural deficiencies in the food operation
6. Manage and maintain an effective pest control system
7. Manage and maintain a satisfactory waste disposal system

Food Safety Operations

8. Manage and maintain an effective cleaning programme
9. Where applicable to their job: ensure food safety during product purchasing
10. Ensure food safety during delivery receipt
11. Ensure food safety during storage
12. Ensure food safety during product preparation
13. Ensure food safety during cooking/processing/cooling/holding/service of food
14. Encourage good hygiene practice during the transportation of food
15. Where applicable to their job: ensure products are labelled correctly

Food Safety Management

16. Manage/review food safety complaints effectively
17. Manage and maintain food safety documentation and records

Staff Training and Management

18. Ensure that the food safety training needs and competencies of staff are met

Food Safety Regulations

19. Demonstrate an awareness of the legislative requirements in Dubai relating to their business
20. Provide assistance to food inspection officers
21. Follow up non-conformances with corrective action.



Competency requirements of a certified Person in Charge with Food Safety Course- Level 3

Personal Hygiene

1. Demonstrate commitment to good food hygiene practice
2. Promote a high standard of personal hygiene throughout the food operation
3. Explain the implications of foodborne illness in the food operation
4. Ensure food workers suffering from foodborne illness do not work in contact with open food

Structural Hygiene

5. Identify or report structural deficiencies in the food operation
6. Manage and maintain an effective pest control system
7. Manage and maintain a satisfactory waste disposal system

Food Safety Operations

8. Manage and maintain an effective cleaning programme
9. Where applicable to their job: ensure food safety during product purchasing
10. Ensure food safety during delivery receipt
11. Ensure food safety during storage
12. Ensure food safety during product preparation
13. Ensure food safety during cooking/processing/cooling/holding/service of food
14. Encourage good hygiene practice during the transportation of food
15. Where applicable to their job: ensure products are labelled correctly.

Food Safety Management

16. Manage and maintain the traceability system within their area of the food operation
17. Manage/review food safety complaints effectively
18. Implement and review the food safety management system (based on HACCP principles)
19. Conduct internal audits
20. Manage and maintain food safety documentation and records

Staff Training and Management

21. Ensure the food safety training needs and competencies of staff are met

Food Safety Regulations

22. Demonstrate an awareness of the legislative requirements in Dubai relating to their business
23. Provide assistance to food inspection officers
24. Follow up non-conformances with corrective action.

13. Where can the PIC get trained?

Training will only be recognised if it is delivered by a Trainer approved by the Food Control Department. Trainers approved to deliver the PIC training will provide certificates issued by HABC and the Dubai Accreditation Centre.

A list of approved trainers can be found on the HABC MEA website: www.highfieldabc.ae

Alternatively, the same details can be obtained from the Food Control Department: Please mail to bkthulasi@dm.gov.ae

14. How is the training delivered and how long will it take?



At Level 2, training will be provided in multiple languages and the PICs can choose the language most suitable for them.

Food Safety Course – Level 2

Trainers shall provide the training through trainer-led lecture sessions. The training contact time excluding the breaks and the examination, shall not be less than 10 hours. The instructor should consider expanding the number of contact hours when a review of the participants reveals learning disabilities, language barriers or other factors which may inhibit learning.

Food Safety Course – Level 3

Trainers shall provide the training through a combination of trainer-led contact sessions and self-learning exercises. The training contact time excluding the breaks and the examination, shall not be less than 18 hours.

15. Will previous training be recognised?

A person with any of the following qualifications may apply for the Food Safety Certification Examination after attending a one-day refresher training with emphasis on Dubai Municipality Regulations offered by approved trainers:

- Intermediate (Level 3) or Advanced (Level 4) award in food safety from a recognised Awarding Body.
- Advanced training in implementation of food safety management systems that are approved by the Department.

A person who fails in the certification examination has to attend the whole course before sitting for the next examination.

16. How is PIC training different to general food safety skills and knowledge training?

The PIC training is referred to as 'accredited' training as it is provided by Internationally Recognised Awarding Body accredited by the Dubai Accreditation Department.

PIC training is an additional requirement for a person who works in the managerial or supervisory position. PIC training will focus on helping the PIC to carry out internal inspections of their premises and to take appropriate corrective actions. The training will enable managers to identify practices that could lead to problems and thus it is a preventive tool.

It is a mandatory requirement for all food handlers to have general food handling skills and knowledge appropriate to their role in the business. This is specified in the Food Code and this will continue to be the requirement for all food handlers.

17. Certificate Validity?

The certificate will be valid for a period of Five (5) Years.

18. How should the business choose a trainer?

Step 1: Know your Training Requirements

- Decide what level of training you want the trainer to provide. This could be Level 2 or 3 training based on the type of your business.
- Decide in which language you want the training to be. It is important to choose the language that you are most comfortable with.
- Contact the Food Control Department if you wish to get more information.

Step 2: Contact and Select the Trainer



- Contact and talk to the trainer you wish to choose and preferably meet the trainer in person
- Ensure that the trainer is fluent in the language you wish the training to be in
- Contact their previous clients to know whether the trainer had done a good job in the past

19. What is the difference between a Dubai Awarding Body and an Ofqual Awarding Body?

Ofqual Awarding Bodies provide internationally recognised qualifications and certifications unlike Dubai Awarding Bodies who provide qualifications and certifications which are only recognised on a local level.

20. Are any providers of PIC certification Ofqual Awarding Bodies?

Yes, however this is limited to Highfield Awarding Body for Compliance (HABC)

21. What do Ofqual do?

Ofqual's duty is to ensure that qualification users can rely on high quality qualifications that are fit for purpose, command public confidence and are understood by learners, employers and providers. Ofqual must also ensure that consistent standards are being maintained across Awarding Bodies over time, that Awarding Bodies are competent, and that if something goes wrong there is a right of appeal.

In order to fulfil this role, Ofqual regularly monitor Awarding Bodies to ensure standards are maintained.

22. How do you become an Ofqual Awarding Body?

The process of becoming an Ofqual Awarding Body can be lengthy. In some circumstances the process can take up to three years. Each Awarding Body must successfully complete an application form which should be supported by a number of banked documents. Until Ofqual are satisfied that the Awarding Body has policies, procedures and systems in place, the application will not be approved.

23. What kind of policies and systems does an Ofqual Awarding Body have in place?

As Ofqual Awarding Bodies are subject to UK government regulation, there is a requirement to implement a number of policies and procedures to ensure ongoing compliance. As such, HABC has produced a number of documents where performance will be measured against fixed criteria. Examples include things such as customer service levels and audit visits. Within HABC there are a number of internal checklists that must be completed on a daily basis covering a number of regulatory responsibilities. These checklists ensure policies and procedures are followed in accordance with regulatory requirements.

24. Why should someone pay extra for an Ofqual accredited qualification?

Ofqual accredited qualifications are internationally recognised. Therefore wherever you end up working in a food safety environment, an HABC Ofqual accredited certificate will be recognised. Currently HABC certificates are recognised throughout Europe, Middle East, Americas and Africa. This global footprint will only increase in size.

25. Is there third party involvement with an Ofqual accredited certificate?



Absolutely not. As an Awarding Body, HABC can offer the Ofqual certificate directly without having to use a third party, such as a university or further education establishment. This also speeds up the assessment process as HABC can release results for PIC **and** Ofqual certification at the same time. Many UK universities choose HABC as their qualification provider. However, should you choose to use HABC for your PIC provision, you will negate the need to approach a university for an Ofqual certificate.

For further information please contact a member of the HABC MEA PIC Team. Contact details can be found below:

Address:

HABC
DHCC
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai
United Arab Emirates
Tel: 00 9714 449 4042
Fax: 00 9714 449 4041

E-mail: PIC@Highfieldabc.ae



HABC Person in Charge Fees

Document Title: HABC Person in Charge Fees		Procedure No.: PME057
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.01

HABC PERSON IN CHARGE (PIC) FEES

1. HABC strive to continue offering world leading training products and examination materials at the most competitive prices.
2. HABC materials have been developed specifically for PIC training programs with the support of DM. As such, we firmly believe there are no better products available for the PIC program.
3. DM has established new Training Fees (August 2014). Training Centres shall not charge a fee less than the amount stipulated below. The payment includes the relevant training materials.

PIC Level 2

Registration with Awarding Body: 150 AED
Training Fee: 450 AED

PIC Level 3

Registration with Awarding Body: 200 AED
Training Fee: 700 EAD

4. Payment Procedure. The special payment procedure is to ensure that:
 - Trainings are organised effectively
 - are allocated on time
 - Cancellations of training are not done in the last minute or without prior notice.
 - I. The trainee should make at least a partial payment to the training centre at the time of registration.
 - II. In the event of the cancellation of training by the training centre, the entire amount should be refunded.
 - III. If the trainee is unable to complete the session because he/she was late for the sessions, the trainee has to re-sit the entire training. The payment will not be refunded in this case.
5. In order to find out more about HABC PIC pricing please contact HABC MEA:

HABC MEA
Building no B/P 49
Office Unit no 306
Dubai Healthcare City
Dubai, United Arab Emirates

www.highfieldabc.ae



PIC Requirements

Document Title: PIC Requirements		Procedure No.: PMEA58
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.01

PIC REQUIREMENTS

The below table list the recommendations. Food Inspection Officer has the final discretion to nominate the PIC and recommend the training requirements based on the type of the food business operation. Training programs and examinations are also be offered in languages other than English. It is the responsibility of the food establishment to choose training programs suitable for the PIC.

Business Type	PIC Requirement	Recommended Qualification
Bakery/Confectionery Cat. I Meat, egg/cream/ milk based Products	One per shift present in the production area	At least one PIC with Level 3 training and others with Level 2 training
Bakery/Confectionery Cat. II Bread, chocolate, sweets, sugar confectionery	One per establishment	At least one PIC with Level 2 training
Fishmonger/ Fish stall	One per establishment	At least one PIC with Level 1 training
Butcher shop	One per establishment	At least one PIC with Level 1 training
Fruit and Vegetables stall Raw, whole vegetables only	One per establishment	At least one PIC with Level 1 training
Grocery Pre-packed food only	One per establishment	At least one PIC with Level 2 training
Departmental Store/Supermarket Cat. I Mixed activities, open display of open high risk foods and preparing to order	One in each counter where open high risk food is handled	At least one PIC for the store with Level 3 training and at least one PIC with Level 2 training in each counter where open high risk food is handled (delicatessen, salad counter)
Departmental Store/ Supermarket Cat. II Pre-packaged food only	One per shift	At least one PIC with Level 2 training
Vending Machine Requiring temperature control		License holder/manager with PIC with Level 2 training
Food kiosks Cat. I Low risk foods	One per establishment	License holder/manager with PIC with Level 1 training
Food kiosks Cat. II High risk foods	One per establishment	License holder/manager with PIC with Level 2 training
Catering company Cat. I With preparation at service site	One per shift per kitchen (depends on the size)	One PIC per kitchen with level 3 training
Catering company Cat. II With only hot holding at service site	One per shift	One PIC per site with level 2 training
Central Kitchens of restaurants or catering companies	One per shift per kitchen(depends on the size)	One PIC per kitchen with level 3 training
Hospital kitchen	One per shift present in the production area*	One PIC per kitchen with level 3 training
Nursing Home	One per shift present in the production area	One PIC per kitchen with level 3 training
Day Care, Pre-school, School Cat. I Production/preparation	One per shift present in the production area*	One PIC per kitchen with level 3 training
Day Care, Pre-school, School Cat. II Tea, coffee, snacks only	One per establishment	One PIC per kitchen with level 2 training
Restaurant Cat. I (That use complex processes involving cooling and reheating of cooked food)	One per shift present in the kitchen*	At least two PICs (the owner or manager or chef) per kitchen with level 3 training and others with level 2 training



Business Type	PIC Requirement	Recommended Qualification
Restaurant Cat. II (That have same day cook and service)	One per shift present in the production area*	PIC with Level 3 training
Cafeteria, café'	One per shift present in the kitchen	PIC with Level 3 training
Hotels	Need based	At least one PIC per kitchen with level 3 training and others with Level 2 training

In the case of hotels working under the same management that have more than one kitchen or production area, it is not necessary to have a PIC in each area unless the area is physically isolated from the other areas where the PIC is present. This rule is also applicable to larger food establishments with multiple kitchens or production areas that handle high risk foods. If the kitchen or production area/restaurant is managed by any independent subcontractor/franchisee with independent management then all such food premises are required to have PICs.



Trainer Specification

Person in Charge

Document Title: Trainer Specification Person in Charge		Procedure No.: PME059
Date Issued: 11 February 2011	Last Revised: 7 September 2014	Revision No.: 0.01



TRAINER SPECIFICATION PERSON IN CHARGE (PIC)

1. Required Qualifications and Experience of Nominated Tutors

- 1.1** A PIC food safety trainer shall be certified by one of the Awarding Bodies approved by Dubai Municipality (DM) to conduct training and shall be registered with the DM Food Control Department (the Department).
- 1.2** A Trainer can be a full time employee in a food establishment or employed in an establishment authorised and approved by the Department to conduct food safety training.
- 1.3** The trainer shall have:
 - 1.3.1** A clear understanding of the PIC competency standards;
 - 1.3.2** The necessary knowledge, qualifications and experience to explain adequately why these standards are required; and
 - 1.3.3** The necessary training skills to deliver the training programme effectively.
- 1.4** The Trainer shall design and deliver a planned programme of training/instruction which focuses on the training needs of the Person in Charge and on achieving competencies particular to the workplace.

2. Applying for Trainer Approval

- 2.1** The process of certifying applicants for their suitability to work as food safety trainers includes joint assessment by the Department and the Awarding Bodies accredited by the Dubai Accreditation Department (DAC). To allow the Department to make a decision on whether an applicant meets the criteria for approval as a trainer, each application must provide the following supporting information to the Awarding Body:
 - 2.1.1** Records of training and qualifications; and
 - 2.1.2** Detailed resume of relevant experience.
- 2.2** Qualification, Experience and Knowledge.
 - 2.2.1** Trainers must demonstrate that they have the relevant knowledge/qualifications, experience, and skills in food safety and training.
- 2.3** Food Safety Qualification
 - 2.3.1** A verifiable Degree, Diploma or an Advanced Certificate (Level 4) is required that encompasses one or more of the following topics:



- 2.3.1.1 Environmental/Public Health;
- 2.3.1.2 Food Science or Food Technology;
- 2.3.1.3 Food Safety/HACCP;
- 2.3.1.4 Food Establishment Management in the hotel, restaurant, or retail sectors; and
- 2.3.1.5 Food Microbiology.

(The minimum duration of the certificate course should be 6 months)

- 2.3.2 Trainers shall successfully complete PIC train the trainer course offered by Awarding Bodies.

2.4 Food Safety Experience

- 2.4.1 The trainer should have at least two years' experience in food safety related job responsibility in one or more of the following areas:
 - 2.4.1.1 Supervision of food preparation (experience in foodservice/catering industry should be of a technical nature and at a managerial level);
 - 2.4.1.2 Providing consultancy in food safety;
 - 2.4.1.3 Regulatory authority with food safety responsibilities;
 - 2.4.1.4 Quality assurance or control in a food operation; and
 - 2.4.1.5 Food Safety training at an appropriate level.

2.5 Training Qualifications

- 2.5.1 Trainers shall successfully complete the Department's 2 day approved Food Safety Instructor Training Course offered by the approved Awarding Bodies.

2.6 Certification Examination

- 2.6.1 Trainers shall be certified to train Person(s) in Charge through completion of an examination conducted by the Awarding Body.

2.7 Demonstration of skills

- 2.7.1 The trainers may be required to demonstrate their training competence to the Food Control Department. This could be a part of the verification process for

initial approval or a part of the ongoing assessment process to ensure compliance at a later stage.

2.8 Exemption to a formal food safety qualification

2.8.1 An exemption can be obtained if the trainer has more than 5 years of relevant experience, and can demonstrate sufficient knowledge and skills through a practical assessment conducted jointly by the Department and one of the Awarding Bodies. The assessment will determine the applicant's knowledge and capability to train in a professional and efficient manner.

2.9 Continuing Professional Development (CPD) for Trainers

2.9.1 Trainers should strive to continually update and improve their knowledge of issues and developments within the arena of food safety, and apply that knowledge to their training. CPD, by definition, implies that an individual is already qualified, and that they are, through CPD, maintaining and enhancing their skills. CPD contributes to three basic areas:

2.9.1.1 Maintenance of professional competence;

2.9.1.2 Enhancement of existing knowledge and skills; and

2.9.1.3 Development of new knowledge and skills.

2.9.2 The CPD points for various programmes can be obtained from the Food Control Department.

2.9.3 Awarding Bodies shall monitor the CPD of trainers.

2.10 To retain the approval to train, trainers must:

2.10.1 Attend information up-date days provided by DM;

2.10.2 Maintain a continuous, up-to-date and accurate record of their CPD activities;

2.10.3 Present a written profile containing evidence of their CPD to the Department; and

2.10.4 Demonstrate that their CPD activities are a mixture of learning activities relevant to current or future practice.

2.11 Annual Requirements

2.11.1 The Department requires a minimum of 30 hours CPD per annum for all trainers.



- 2.11.2 The learning activities undertaken should reflect a balance of learning activities. A trainer's CPD should include activities in the following categories:
- 2.11.2.1 Formal Training (e.g. training programmes, workshops, conferences) 60 %
 - 2.11.2.2 Professional Activity (e.g. involvement with professional bodies) 20%
 - 2.11.2.3 Formal/Educational (e.g. writing articles/papers, further/higher education) 20%. Examples in brackets are not intended to be comprehensive.
- 2.12 All PIC Trainers **must** be approved by HABC and must be attached to an approved HABC PIC Training Centre. HABC do not charge individuals to register as approved Tutors. HABC PIC Trainers will receive a unique five digit approval number. It is important that trainers remember this number, particularly when completing HABC paperwork.
- 2.12.1 For further information on how to become attached to an approved HABC PIC Centre, please contact HABC MEA via email at the following address: PIC@Highfieldabc.ae
- 2.13 Should you wish to become an approved HABC Centre please click on the link below and click on the tab 'Become a Centre'. Simply follow the step by step application form.
- 2.13.1 www.highfieldabc.ae
- 2.14 It is a mandatory requirement that Awarding Bodies shall conduct programme reviews and generate a rating scale for trainers.



HABC MEA Impartiality Forms

Document Title: Impartiality forms		Procedure No.: PME060
Date Issued: 6 September 2015	Last Revised: N.A.	Revision No.: 0.00



HABC MEA Impartiality form for Centre staff delivering and administrating Person in Charge Qualification

1. HABC MEA Centre responsibilities

Highfield Awarding Body for Compliance (Middle East) Asia (“HABC MEA”) has the responsibility to ensure that the integrity and impartiality are maintained in our qualifications and certifications schemes.

HABC MEA regulations establish that the Centre is responsible for ensuring that all HABC Policies and procedures are adhered to by all Centre personnel at all times (this includes the Person in Charge Certification Scheme). Also, the Centre Contact is responsible for ensuring that the Centre is meeting the requirements of the qualifications.

Having in mind this, it is necessary that the Centre Contact and the personnel involved (Staff and Tutors) in the delivery of the level 2 and Level 3 Person in Charge Qualification have an understanding of the **HABC Regulations for Person in Charge** and **Rules and Regulations Pertaining to Food Establishments and Training Providers** (Guidance Document, Food Control Department, Dubai Municipality). If you do not have these documents, please contact your HABC MEA Centre Manager.

2. Person in Charge Certification Scheme Impartiality

Additional to HABC MEA regulation and procedures, **Person in Charge** regulations establish the importance to review and monitor the impartiality with all those involved in the delivery of the Person in Charge Certification Scheme.

HABC MEA has designed a **Centre impartiality questionnaire and declaration form** that has to be filled individually by all the Centre staff involved in the delivery of the Person in Charge Certification Scheme with the aim to review the impartiality issues in the HABC MEA Centres registered in the Person in Charge Certification Scheme.

3. Staff involved in the delivery of the Person in Charge Certification Scheme in the HABC MEA Centre.

The Centre Contact has to fill the Table 1 and attach the forms filled by the Staff and send back to the HABC MEA Centre Manager in annual basis. If there is any change in the staff reported in this form this has to be reported with the correspondent *Centre impartiality questionnaire and declaration form* to your Centre Manager as soon as possible. The Centre Contact has to

be assured that the new person is aware of the regulations in the Person in Charge Certification Scheme.

If the HABC MEA Centre delivering the Person in Charge Certification Scheme has registered several Centre Contacts; the Centre has to name Centre Contact responsible to this process.

Table 1 Staff involved in the delivery of the Person in Charge Certification Scheme

Date: _____ / _____ / _____

Centre Name: _____

Centre Contact Name (responsible): _____

Signature: _____

Staff Name	Job position*

***Job Position:** Centre Contact, Administration Team or Tutor.

The Centre Contact responsible has to return this form to his HABC MEA Centre Manager with all the **Centre impartiality questionnaires and declarations** completed and signed by the staff involved in the delivery of Person in Charge Certification Scheme.

--

HABC MEA Centre impartiality questionnaire and declaration

Highfield Awarding Body for Compliance (Middle East) Asia (“HABC MEA”) has the responsibility to ensure the integrity and impartiality of the **Person in Charge Certification Scheme** with all our Centres.

Before you start to fill this form, it is important that you review and understand the **Rules and Regulations Pertaining to Food Establishments and Training Providers** (Guidance Document, Food Control Department, Dubai Municipality) and **HABC Regulations** for the Person in Charge Certification Scheme. If you do not have these documents contact your HABC MEA Centre Manager.

If after you reviewed the regulations, you would like to make comments regarding the Certification Scheme please contact your HABC MEA Centre Manager.

Important: This questionnaire and declaration has to be answered and signed individually by the all the staff members (Centre Contact (s), Administration Team and Tutors) involved in the administration and delivery of the Person in Charge Certification Scheme. **Please, print the necessary copies.**

1. Respondent information, impartiality threats and principles

Date: _____/_____/_____

Centre Name:		Centre ID:	
Name:			
Job position (✓):	Centre Contact	Administration Team	Tutor
		Tutor ID:	

In essence an impartiality threat exists in relation to HABC MEA Centre where:

- Training Companies activities undertaken by itself or on its behalf have the potential to lead the Company to act contrary to its interests and not conforming to approved standards of the Person in Charge Certification Scheme.
- Activities of the personnel of the Training Company (Centre Contact, Tutor or Administration Team) or third parties (External Provider or Learners) such as administration procedures, training or any other activity have the potential to lead that person or the third party to act contrary to their interests and not conforming to approved standards of the Person in Charge Certification Scheme.

Our impartiality threats principles in relation to our Centres are:

- Employees and third parties must be proactive in the identification and management of impartiality threats that may affect effectiveness, level of regulatory compliance and/or reputation.
- Employees and third parties must be open about the nature of any potential or actual impartiality threats and not try to hide or present them in a better light – managing impartiality threats is about preventing issues from occurring that may impact on the operational effectiveness and/or regulatory compliance.

--

2. Please complete the questionnaire

Question	Y/N
Are you aware that you have to process and deliver the Person in Charge Certification Scheme appropriately, consistently, with integrity and in accordance with regulatory requirements and do not have any personal interest that could impact the Scheme with the aim of benefiting yourself?	
Are you aware that as a staff administrating or delivering the Person in Charge Certification Scheme, you have to highlight any evidence that compromise the delivery of the Scheme when you are carrying out your role?	
Are you aware that as a staff involved in the delivery of Person in Charge Certification Scheme, you cannot share information (candidates personal information, examination papers, training materials, etc.) with another person (relatives, friends or third parties) that compromise the impartiality of the Certification Scheme?	
Are you aware that to receive undue gifts or hospitality that may affect your judgment or be considered by others as impacting your judgment in the administration and delivery of training of the Person in Charge Certification Scheme is not allowed?	
Are you aware that a tutor, administration staff or third party (Company, Learner, etc.) looking for a personal interest cannot put pressure or intimidate you from delivery appropriately and consistently the Person in Charge Certification Scheme?	

Important Note: If you have answered **NO** to any of the above questions; you may have been involved involuntarily in an impartiality threat that impacts the Person in Charge Certification Scheme or you have any further question regarding impartiality, please contact your HABC MEA Centre Manager.

3. Impartiality Declaration

-  I have reviewed the **Rules and Regulations Pertaining to Food Establishments and Training Providers** (Guidance Document, Food Control Department, Dubai Municipality) and **HABC MEA Regulations** and I can confirm that I will comply with the Person in Charge Certification Scheme regulations and procedures.

-  I can confirm that as a (Centre Contact/Administration Team/Tutor) _____; I understand the importance of reporting any impartiality threats that affect the effective implementation of the Person in Charge Certification Scheme.

-  I can confirm that until now I have not been involved or witnessed any impartiality threat to the Person in Charge Certification Scheme in our Centre by any of our members or third party partner.

-  I can confirm that as a member of (Centre Name) _____ I will be vigilant of any impartiality threat to the Person in Charge Certification Scheme and report this to HABC MEA.

-  I can confirm that the Person in Charge Certification Scheme is delivered with complete impartiality and according with regulations and procedures established.

PDF GENERATED BY HABC

Name

Signature

All the ***Centre impartiality questionnaires and declarations*** signed by the Staff have to be collected by the registered **HABC MEA Centre Contact** and send back to your **Centre Manager** attached to the ***Impartiality form for Centre staff delivering and administrating Person in Charge Qualification***.



HABC MEA Impartiality form Learners assessed for Person in Charge Qualification

4. HABC MEA Centre responsibilities

Highfield Awarding Body for Compliance (Middle East) Asia (“HABC MEA”) has the responsibility to ensure that the integrity and impartiality are maintained in our qualifications and certifications schemes.

HABC MEA regulations and Person in Charge Certification Scheme establish that the Learners have to go through an impartial and fair process, from the application to the assessment procedure.

Having in mind this, it is necessary to evaluate if the Learners assessed in the level 2 and Level 3 Person in Charge Qualification have been participating in a process according with the standards established in **HABC Regulations for Person in Charge** and **Rules and Regulations Pertaining to Food Establishments and Training Providers** (Guidance Document, Food Control Department, Dubai Municipality).

5. Person in Charge Certification Scheme Impartiality

HABC MEA has designed a **Learner impartiality questionnaire and declaration form** that has to be filled individually by Learners involved in the assessment process of the Person in Charge Certification Scheme with the aim to review the impartiality issues during the register, training and assessment in the Person in Charge Certification Scheme.

6. Information of the course monitored.

Date: _____ / _____ / _____

Centre Name:		Centre ID:	
PIC Level:		Number of Learners:	
Comments or additional information:			

HABC MEA Invigilator: _____ Signature: _____

The HABC MEA Invigilator is responsible to return this form to his HABC MEA with all the **Learner impartiality questionnaires and declarations** completed and signed by the Learners involved in the assessment of the qualification.



HABC MEA Learner impartiality questionnaire and declaration form

Highfield Awarding Body for Compliance (Middle East) Asia ("HABC MEA") has the duty to ensure the integrity and impartiality of the Person in Charge Certification Scheme with the trainer centre and the learners.

Important: This questionnaire and declaration is applied periodically, to comply with regulations, in all PIC HABC MEA Centres by the Invigilator with the aim of monitoring Impartiality Threats to the PIC Certification Scheme. All the Candidates in the examination room have to answer this questionnaire without exception.

4. Respondent information, impartiality threats and principles

Please, fill the data and read the information before you continue with the next section.

Date: _____/_____/_____

Candidate Name:			
Company name:			
Job position:		Phone number:	
Training Company		PIC Level:	

An impartiality threat is when:

- HABC MEA Employees, Training Centre staff or third parties (Learners) can affect or restrict the correct implementation of the Person in Charge Certification Scheme because they want to obtain a personal benefit or gain.

Our impartiality threats principles are:

- HABC MEA Employees, Training Centre staff and third parties (Learners) must be proactive in the identification and management of impartiality threats that may affect the effectiveness and correct implementation of the Person in Charge Certification Scheme.

5. Please complete all sections of this questionnaire

Question	Y/N
After you paid the PIC Course (a price established by Dubai Municipality), did anybody ask you more money to accept you in the PIC Course?	
Did the training materials (handbook and presentation) were different to the subjects explained by the Trainer during the Person in Charge course or did not include the subjects review in the course?	
During the Training did anybody consciously try to affect your performance or there were elements that stop you perform efficiently the Person in Charge course (for example: they change the venue and did not inform you in purpose; excluded you of the training session, the venue was not good for training; etc.)?	

--

Question	Y/N
During the registration, training or examination did you offered money, gifts or hospitality to the Trainer, training centre's staff, invigilator or third parties that may affect the impartial administration and delivery of the Person in Charge Certification Scheme?	
Did the invigilator ask you for money or personal information (not included in the registration forms, candidate list or evaluations) as a condition to let you do the exam?	

Important Note: If you have answered **NO** all the questions above, please continue with:
3. Impartiality Declaration.

If you have answered **YES** to any of the above questions; you may have been involved involuntary in an impartiality threat that impacts the Person in Charge Certification Scheme. Please mention this to the invigilator and explain your case.

The Invigilator will report this to HABC MEA and be sure that all procedures and enquires will be managed with complete confidentiality.

If you are going to report a case; please sign here and report to the Invigilator:

Learner name and signature: _____

Invigilator name and signature: _____

6. Impartiality Declaration

Please, read carefully this declaration before you sign.



I understand the importance of reporting any Impartiality Threats to comply with the requirements and regulations of Person in Charge Certification Scheme.



I can confirm that until now I have not been involved or witnessed any impartiality threat to the Person in Charge Certification Scheme.



I can confirm that I will be vigilant of any impartiality threat to the Person in Charge Certification Scheme and report this to HABC MEA.



I can confirm that the Person in Charge Certification Scheme was impartially delivered.

Signature: _____
Name: _____

All the **Learner impartiality questionnaire and declaration** signed by the Learner have to be collected by the **HABC MEA Invigilator** and attached to the **Impartiality form, Learners assessed for Person in Charge Qualification.**