



**ECITB Awarding Organisation
Management of Incidents Policy and
Procedure RV2-1
August 2023**



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Introduction

The ECITB Awarding Organisation and its Approved Centres must take all reasonable steps to identify the risk of the occurrence of any incident which could have an Adverse Effect. However it is acknowledged that incidents may occur that could not have been foreseen and therefore this policy sets out the procedure for Approved Centres to follow when reporting incidents related to the delivery and/or assessment of ECITB qualifications that cause or have the potential to cause an Adverse Effect.

Approved Centre Responsibility

Approved Centres should take all reasonable steps to ensure that their staff involved in the management, assessment and quality assurance of ECITB qualifications, and their candidates, are aware of the contents of this policy.

Approved Centre staff must be aware they have the responsibility to report to the ECITB Awarding Organisation any incident, including cyber-attacks, which has the potential to or has:

- resulted in an adverse effect on ECITB and/or its regulators;
- affected candidates registered with the ECITB Awarding Organisation;
- resulted in the Approved Centre and/or ECITB not being able to meet their regulatory requirements.

Approved Centres must refer to the ECITB Awarding Organisation Malpractice and Maladministration Procedure for any incident that relates to suspected or alleged malpractice or maladministration.

Approved Centres must **immediately** notify the ECITB Awarding Organisation of any incident that has occurred relating to ECITB qualifications and/or registered candidates, providing the following information:

- qualification(s) affected;
- number of registered candidates affected;
- in the case of Cyber-attacks:
 - how many separate attacks and the nature of those attacks,
 - nature and extent of any loss of data, information, assessment materials and/or assessment evidence,
 - extent to which there is any GDPR breach and confirmation that this has been reported to appropriate authorities
- potential or actual impact on the Approved Centre and/or registered candidates;
- any concerns relating to the Approved Centre's ability to comply with ECITB Awarding Organisation and/or regulatory compliance;
- any mitigating actions taken to date.

Notifications will normally be acknowledged:

- no later than **5 working days** from receipt for correspondence sent via email to: qualifications@ecitb.org.uk,
- no later than **15 working days** from receipt for any other correspondence and correspondence sent via post

The ECITB Awarding Organisation will then liaise with the Approved Centre to determine any immediate actions, which may include the application of a Precautionary Restriction as per the *ECITB Awarding Organisation Restriction and Sanctions Policy and Procedure*.

Process for sending correspondence with personal or sensitive data

Before sending any information or data to ECITB that contains staff (including contractors) and/or candidate personal details that could be attributed to an individual and/or information that includes sensitive data about an individual, you are required to request a ShareFile link from qualifications@ecitb.org.uk.

The ECITB Awarding Organisation will respond by sending an email from qualifications@ecitb.org.uk containing the wording '[Click here](#) to upload files'. This enables you to upload your files to the ECITB secure ShareFile system.

No personal or sensitive data should be sent via email as this method of transferring data is less secure than ShareFile

Should you be sending such data by post, please mark the correspondence 'Confidential – For the Attention of the Awarding Organisation'.

Management of Incidents

Where an incident has been identified and/or reported the ECITB Awarding Organisation will take all reasonable steps to:

- Prevent the incident and/or any Adverse Effect from occurring;
- Reduce the risk of the incident occurring;
- Take action to mitigate the impact of any adverse effect should the incident occur or where it cannot be prevented;

Priority will be given, where possible and whilst maintaining the integrity of the qualification, to the provision of assessment for candidates and to accurately and timely award qualifications.

In evaluating the impact of any incident additional information may be required from the Approved Centre.

Recording of Incidents

The ECITB Awarding Organisation will maintain an Incident Log that records:

- the details of all incidents;
- whether the incident has or may have the potential to cause an Adverse Effect, which is then reportable to the qualification regulators;
- the immediate actions taken to prevent or mitigate against any Adverse Effect;
- any subsequent actions taken to manage risk.

Where an incident may impact the wider ECITB the Awarding Organisation will inform the relevant department.

Management of Risk

The ECITB Awarding Organisation takes all reasonable steps to identify, monitor and mitigate against any risks that could have an Adverse Effect relating to ECITB qualifications and the requirements of the qualifications regulators.

The ECITB Awarding Organisation maintain an operational Risk Register to manage identified risks, The Risk Register includes a summary of the identified risk, any action taken to prevent the risk from occurring or mitigate its impact and any relevant contingency plan.

When incidents occur, and where appropriate, the Risk Register will be updated with a new risk to ensure the issue is managed and mitigated against.

The ECITB Awarding Organisation Risk Register is reviewed regularly during management meetings and updated accordingly.

In addition wider organisational risks such as infrastructure, delivery of support services and legal compliance are considered as part of ECITB's risk management procedures and recorded on the ECITB Strategic Risk Register.

Review Arrangements

This policy and its associated procedures will be reviewed and revised, as and when necessary, as part of continuous improvement arrangements and/or in response to customer, candidate or regulatory feedback (e.g. to align with any enquiries, processes established or revised by the regulators) and/or in response to any trends that may emerge in the subject matter of enquiries received.



Contact Details

If you have any queries about any aspect of this process, please contact:

The Awarding Organisation
Engineering Construction Industry Training Board
Office F15, Kings House Business Centre, Home Park Estate
Station Road, Kings Langley, WD4 8LZ
Telephone: 01923 260 000
Email: Qualifications@ecitb.org.uk
Website: www.ecitb.org.uk