# Safer Greens Limited ITC Audit Checklist

**Key to Audit Types:**

- **A** = Announced Audit (scheduled, full/documentation review)
- **U** = Unannounced Audit (sudden, on-site/live checks)
- **R** = Remote Audit (desk-based, digital evidence review)

## 1. Management Systems

**Reference**: CITB Para 1-20, Appendix 1

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Policies (QMS, Malpractice, GDPR) reviewed annually and signed. | A, R | Policy review log, signed copies (Shared Drive > Policies) | Ensure policies are updated and accessible digitally. | ☐ |
| Valid insurance certificates (Public Liability £5m, etc.). | A, R | Insurance documents (Finance Folder) | Store scanned copies in Shared Drive. | ☐ |
| Staff due diligence (DBS checks, PV ITC certifications). | A, R | DBS certificates, training records (HR Folder) | Annual refresher reminders on calendar. | ☐ |
| Material changes reported to CITB within 20 days. | A, R | Email correspondence (Compliance Folder) | Use email templates for quick reporting. | ☐ |
| Records retained: Test logs, CCTV, candidate IDs. | A, U, R | Test logs (Shared Drive > Tests), CCTV archive (Secure Server) | Daily backup of records. | ☐ |

## 2. Test Room & Resources

**Reference**: CITB Para 11-19, 46-50

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Test room meets spatial requirements (1.25m spacing, 60cm dividers). | U | Test room layout diagram, photos (Compliance Folder) | Daily inspection checklist for real-time compliance. | ☐ |
| No unauthorised materials in test room. | U | Daily inspection checklist | Train staff to enforce rules during tests. | ☐ |
| Health & safety compliance (fire risk assessment, evacuation plan). | A, U | Risk assessments (H&S Folder) | Conduct quarterly fire drills. | ☐ |
| Staff qualified (PV ITC certification, annual refreshers). | A, R | Training certificates (HR Folder) | Track expiry dates in a shared calendar. | ☐ |

## 3. Candidate Management

**Reference**: CITB Para 21-30, 71-76

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Candidate ID verified and copies retained. | A, U, R | Scanned IDs (Secure Server > Candidate IDs) | Automate ID checks via booking software. | ☐ |
| Candidate Rules Agreement provided pre-test. | U, R | Signed agreements (Shared Drive > Tests) | Pre-load templates for quick access. | ☐ |
| Special adjustments logged and implemented. | A, R | Adjustments log (Shared Drive > Special Needs) | Train staff to document adjustments immediately. | ☐ |
| Complaints process accessible and resolved within 10 days. | A, R | Complaints register (Shared Drive > Compliance) | Publish process on website and booking emails. | ☐ |

**4. Invigilation & CCTV**

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Invigilator physically present in test room. | U | CCTV footage showing invigilator presence | Conduct random CCTV reviews weekly. | ☐ |
| CCTV covers test room (audio) and booking area. | A, U, R | Camera layout diagram, sample footage (Secure Server) | Test cameras daily before tests begin. | ☐ |
| CCTV footage stored for 30 days. | A, R | Archive log (IT Folder) | Use automated deletion settings. | ☐ |
| No personal devices used by invigilators. | U | Staff declaration forms (HR Folder) | Display rules prominently in test room. | ☐ |

**5. Quality Management & Audits**

**Reference**: CITB Para 30-45, Appendix 4

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Monthly internal audits conducted. | A, R | Audit reports (Shared Drive > Audits) | Use CITB's Self-Assessment Checklist. | ☐ |
| Corrective Actions (CAR/IAR) resolved within 30 days. | A, R | Action plan log (Shared Drive > Corrective Actions) | Assign tasks to Oludotun/Sola immediately. | ☐ |
| Annual QMS review (ISO 9001 principles). | A, R | QMS review report (Shared Drive > QMS) | Schedule review in January annually. | ☐ |
| Staff trained on Scheme Rules and malpractice. | A, R | Training attendance sheets (HR Folder) | Annual refresher in September. | ☐ |

**6. Malpractice & Data Protection**

**Reference**: CITB Para 78-94, 77, Appendix 7

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Malpractice policy updated annually. | A, R | Policy + training records (Shared Drive > Malpractice) | Link policy to staff training sessions. | ☐ |
| Suspected proxy incidents logged and reported. | A, U, R | Incident log (Secure Server > Incidents) | Train staff to log incidents immediately. | ☐ |
| GDPR compliance (ICO registration valid). | A, R | ICO certificate (Finance Folder) | Set renewal reminders for ICO registration. | ☐ |
| No conflicts of interest (staff declarations). | A, R | Conflict of Interest log (Shared Drive > Compliance) | Update log during staff meetings. | ☐ |

**7. Emergency & Incident Management**

**Reference**: CITB Para 67-70, 113-120

| Audit Check | Audit Type | Evidence Required | Preparation Tips | Status ✅ |
|---|---|---|---|---|
| Emergency evacuation plan tested quarterly. | A, U | Fire drill records (H&S Folder) | Schedule drills in March, June, September, December. | ☐ |
| CITB notified immediately of test disruptions. | A, R | Email/phone log (Compliance Folder) | Keep CITB's contact details visible. | ☐ |
| Candidates re-tested free of charge after emergencies. | A, R | Re-test vouchers issued (Shared Drive > Tests) | Pre-print vouchers for quick access. | ☐ |
| Appeals process documented and accessible. | A, R | Published policy (Website > Compliance) | Include link in test confirmation emails. | ☐ |

**Final Audit Preparation**

| Action | Audit Type | Responsible | Deadline | Status ✅ |
|---|---|---|---|---|
| Compile evidence in *Shared Drive > CITB Audit 2023*. | A, R | Both | Pre-audit | ☐ |
| Conduct mock audit (simulate unannounced visit). | U | Both | 1 week before CITB audit | ☐ |
| Submit audit readiness confirmation to CITB. | A, R | Oludotun | 5 days before audit | ☐ |

**How to Use This Checklist:**

1. **For Announced/Remote Audits (A/R)**:

   o  Ensure all documents are digitized and stored in *Shared Drive > CITB Compliance*.

   o  Use clear filenames (e.g., Policy_Malpractice_2023.pdf).

2. **For Unannounced Audits (U)**:

   o  Keep test rooms compliant daily.

   o  Train staff to respond calmly and provide immediate access to records.

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