



Registration and Certification of Learners Policy

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Introduction

As a recognised and regulated Awarding Organisation (AO), the Institution of Occupational Safety and Health (IOSH), is committed to high levels of quality assurance and policies that are open, transparent, and free from bias. This policy outlines the responsibilities of IOSH and its approved Study centres in relation to the registration and certification of learners on IOSH qualifications.

This policy sets out to comply with Ofqual Conditions of Recognition relating to the registration of learners, issuing of results and issuing certificates.

Purpose

The purpose of this policy is to:

- Define registration and certification
- Ensure that consistent standards and timescales are maintained by IOSH and approved Study Centres in relation to registration and certification of learners
- Set out the requirements for registration and certification of learners
- Detail when fees and charges will apply to Study Centres
- Describe the situations and process for the replacement of certificates
- Meet regulatory requirements in outlining the arrangements for registration and certification of learners in relation to IOSH regulated qualifications

Scope

This policy and procedure outline the responsibilities of both IOSH and its approved Study Centres in relation to the registration and certification of learners on IOSH regulated qualifications.

This document applies to all Study Centres where IOSH, have granted approval for delivery of regulated qualifications under the various conditions and regulations set by Ofqual.

Definitions

Registration – where learners are entered for a qualification so that they can be assessed as part of that qualification

Certification – where certificates are awarded in recognition of a learner's full achievement of a qualification at the point of completion.

Replacement – means an additional copy of the original

Reissue – an edited copy of the original

Roles and Responsibilities

IOSH Responsibilities

IOSH will take all reasonable steps to ensure that:

- Study Centre submitted learner registrations are processed within 5-days of receipt of payment by IOSH
- Study Centres are invoiced at the point of registration for each learner registering on IOSH qualifications

- Certificates (including replacements) are issued and distributed in a timely manner
- All certificate batches are quality checked prior to distributing to Study Centres and/or learners
- Certificates and any replacement certificates are only issued to learners who have a valid entitlement
- Certificates are revoked if the result on the certificate is false because of malpractice, maladministration, or is revealed to be inaccurate from an appeals process
- The regulator is promptly notified of any reportable errors in the issuing of results and qualification certificates in accordance with our **Event Notification to the Regulators policy**

Study Centre Responsibilities

The Study Centre will take all reasonable steps to ensure that:

- all staff involved in the management, assessment and quality assurance of IOSH qualifications are fully aware of this policy and associated procedures
- they have a documented process in place for making learner registrations and submitting learner results
- they have a policy in place relating to the handling of personal data which meets current legislative requirements
- all staff involved in the management, assessment, and quality assurance of IOSH qualifications are familiar with the Study Centre's Data Protection policy and procedures
- take all reasonable steps to confirm the identity of each learner, ensuring that they can be clearly and uniquely identified
- retain all records and evidence used to identify learners for quality assurance purposes and in compliance with relevant data protection legislation
- inform learners that their information will be passed to IOSH
- register all learners taking an IOSH qualification in a timely manner and that their details are correct e.g. name spellings
- notify IOSH promptly of any changes to learner details
- submit provisional learner results using the Qualification Management System (QMS) in accordance with instructions issued by IOSH
- issue confirmed results to learners only once confirmation has been received from IOSH
- check all certificates issued by IOSH prior to issuing to learners
- notify IOSH in writing of any certificate errors
- distribute certificates issued by IOSH to learners
- return certificates which contain errors to IOSH
- learners have an appropriate level of English language proficiency to engage successfully with learning, assessment and qualification materials. It is essential that learners are able to read, understand, interpret and communicate information effectively in English. The required level is detailed in the qualification handbooks

The Policy

Registration of Learners

To register learners on an IOSH qualification, an organisation must first receive confirmation of Study Centre approval in writing from IOSH. For further information on the Study Centre approval process, please refer to the **IOSH Study Centre Approval Process**.

Once a Study Centre has been approved, they are able to submit learner registrations through the IOSH online Qualification Management System (QMS). Please note learners cannot be assessed until they have been registered. Failure to register learners as indicated, will result in delays in being able to claim achievement and issuing achievement certificates.

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Privacy notice and learner data

Study Centres are required to comply with the Data Protection Act (2018) and have a written policy/privacy notice in place to make learners aware of how their data will be used, shared and stored. The joint commitment and responsibilities of IOSH and its approved centres regarding data protection are set out in the IOSH Study Centre Agreement.

During a learner's enrolment at a Study Centre and prior to any learning or assessment activities taking place, the Study Centre must ensure that their Data Protection Policy/Privacy Notice is provided to and understood by the learner. Learners must be willing to share their full name, date of birth, address, contact number and email address to be registered with IOSH. Learners must be aware of how they can exercise choice in respect of the use of their personal data, however, they must be aware that if they choose not to share their data with IOSH they cannot be registered and therefore cannot complete any learning or assessment with the Study Centre.

The Study Centre's Data Protection Policy/Privacy Notice must allow personal data to be transferred to IOSH for the following purposes:

- To initially register the learner on the relevant IOSH qualification and then any subsequent administration required to amend the registration
- To provide Study Centres with any due certificates upon learner achievement, including the issuing of replacement certificates
- To perform quality assurance activities, including the conducting of investigations into suspected malpractice or maladministration. This may mean that IOSH will be required to contact the learner directly
- To disclose or respond to information requests from Qualification Regulators where IOSH is legally required to provide the information
- To administer requests for Reasonable Adjustments and Special Considerations
- To respond to requests for appeals
- To carry out statistical analysis and monitor equal opportunities (anonymised).

Study Centres must ensure that all learners sign a data sharing agreement to confirm their acceptance that their data can be shared with IOSH for the above purposes. For this reason, centres are encouraged to include this information within their registration documentation. The data sharing agreement must be available for external quality assurance purposes and must be provided to IOSH upon request.

Study Centres must respond to any request from IOSH for the sharing of learner data within 5 working days. Failure to provide data as requested will lead to the application of a Sanction, in line with the **IOSH Sanctions Policy**.

Learner identification

For all IOSH regulated qualifications, the Study Centre must ensure they carry out sufficient checks on learner identification during the induction process. This process must confirm that the learner is who they say they are and that they meet any age requirements as set out in the Qualification handbook. Full records of the identification checks must be kept and provided to IOSH upon request.

Failure by a Study Centre to conduct the required identification checks will be considered as malpractice by IOSH and will be investigated in line with the IOSH Malpractice and Maladministration Policy.

Accuracy of learner names and amendments

Study Centres are responsible for ensuring the accuracy of learner registration data at the time of submission. IOSH requires registrations to be made in the legal name of the learner. Learners must not be registered using nicknames or preferred names. Aside from an incorrect spelling of a learner's name, name changes will only be permitted before certification has taken place.

Where certification has not taken place and a name change is required, the Study Centre must contact IOSH via email as soon as the name change is identified. The Study Centre must confirm to IOSH, in writing, that they have completed the required checks of the learner's identification showing their updated name. In some circumstances, IOSH may be required under its regulatory obligations to request documentary evidence of the name change, such as a photocopy of a name change deed poll.

Where a spelling error is identified regarding a learner's name, the Study Centre must email IOSH as soon as the error is identified to allow it to be corrected. The Study Centre must confirm the correct spelling of the learner's name and confirm that the spelling has been checked against the learner's valid identification. In some circumstances, IOSH may be required under its regulatory obligations to obtain a copy of the learner's valid identification to correct the spelling of the name.

Once qualification certification has taken place, IOSH will not usually permit a learner name change.

Registration timeframes

It is a requirement of IOSH Study Centre approval that centres have robust systems and processes in place to ensure timely registration of learners. Timely registration is to protect the interests of learners, as without registration, learners cannot access their right to IOSH procedures such as complaints or appeals.

Learners must be registered as soon as possible following their induction for the course. All approved Study Centres must register all learners within 28 working days of commencing on an IOSH qualification course. For external examinations, learners must be registered for the examination before the published closing dates.

In all cases, no assessment activities can be carried out by the Study Centre until the learner is registered with IOSH. This is to ensure that the learner's interests are protected. The only exception to this is the initial assessment carried out by the Study Centre during the learner's induction to ensure correct level of entry.

Study Centres are also responsible for ensuring that learners are registered before the Operational End Date of a qualification or unit. IOSH will ensure that all approved Study Centres are updated on any changes to our qualifications.

Where a Study Centre does not meet the above timeframes for registration, or where learning or assessment activities are carried out without prior registration, IOSH will investigate the reason(s) why. Where required, IOSH will apply the relevant Sanctions to the Centre, in line with the **IOSH Sanctions Policy**.

The IOSH AO reserves the right to charge centres a late registration fee, as detailed within the **IOSH Statement of Fees**, where its registration timeframes are not adhered to.

Each learner registration will remain active for a period of 3 years from the course start date. After the period of 3 years, IOSH will no longer accept any subsequent claims for achievement against the registration. Where claims are required to be made, a new registration will need to be made by the Study Centre, at which point the Standard Qualification fee for the product will apply and will be charged to the Study Centre.

Registration fees

A charge is made to the Study Centre for each learner at the point of registration as per the **IOSH Fees and Invoicing Policy** and **IOSH Statement of Fees**.

Certification

Submission of provisional assessment results for centre assessments

In all cases, Study Centre provisional assessment results must be submitted to IOSH for moderation by the published deadline for moderation sessions and within 3 years of the date of registration.

Study Centres must ensure that they are aware of the Certification End Date of the qualifications within their provision. IOSH will not issue certificates where results have been submitted after this date.

As a requirement of Study Centre approval, the required internal quality assurance processes and checks must be carried out to ensure the validity and accuracy of provisional results before they are submitted to IOSH. All provisional results must be submitted to the IOSH using the QMS as per instructions in the **IOSH QMS User Guide for Study Centres**.

Where an incorrect provisional result is identified, the Study Centre must inform IOSH using the Incident Reporting Guidance as a matter of urgency, detailing how the incorrect result(s) occurred and what step have been implemented to prevent reoccurrence. IOSH will investigate the incorrect provisional results submission and may apply sanctions to the Study Centre.

Quality assurance and Release of Results

IOSH will release results following the completion of the required EQA activities. Where a Study Centre delivers qualifications that have centre assessments, IOSH will scrutinise the standard of the Study Centre's assessment following a moderation process as detailed within the **IOSH Centre Assessment Standards Scrutiny (CASS) Strategy**. This will be required to take place before certification for all approved Study Centres.

Confirmed results will be released to Study Centres for centre assessments and external examination assessments in line with the published dates/SLAs for each assessment session.

It is important to note that the IOSH may withhold the release of results in cases where it has not been able to confidently determine the validity of an assessment decision. IOSH may temporarily withhold the release of results in instances of investigations into malpractice and maladministration, at the receipt of intelligence, to safeguard the interests of an assessment or learners, or in compliance with a request from a Regulator.

Issuing of certificates

When a qualification has been successfully completed by a learner and results confirmed by IOSH, a certificate will be generated via the QMS. All certificates are e-certificates unless otherwise requested by a learner. Hard copy certificates are subject to an additional fee as published within the **IOSH Statement of Fees**.

E-certificates will be issued to the Study Centre within 10 working days following confirmation of results. Study Centres will be informed when certificate batches are ready to download.

Once downloaded, all certificates must be checked by the Study Centre for accuracy before being securely distributed to learners in a timely manner.

Study Centres must ensure that they have their own internal procedures for the checking and logging of certificates. Centres should keep a record of certificates downloaded and sent, including the details of the relevant dates and email address sent to. This must be provided to the AO upon request.

Centre internal storage/servers within 2 weeks. This is a breach of the Study Centre approval criteria and may lead to the application of Sanctions.

Hard copy certificates

IOSH operate a digital first policy for the issuing of certificates. However, should a learner wish to purchase a hard copy certificate they can do this by completing an online request form on the IOSH website www.iosh.com with their digital certificate details

Certificate design

The AO are required to meet Regulatory requirements regarding the design of its certificates and therefore we are unable to amend the design and layout. Study Centres are also prohibited from amending an issued certificate in any way.

The AO ensures that all certificates for regulated qualifications are checked periodically at IOSH Assessment Panel meetings, so they meet the requirements of the regulator. Checks are made to ensure:

1. Certificate number
2. Learner number
3. Qualification title accurately and clearly displayed as it appears on the Ofqual Register
4. Correct Ofqual logo sizing as per guideline requirements
5. Date of achievement
6. IOSH logo
7. Valid QR code
8. Signature of the IOSH Chief Executive

Certificate Verification

The e-certificates hold an identification number that is unique to the certificate that has been issued using a QR code. To verify a certificate please scan the QR code or enter the learner details on the validation website.

Revocation of Certificates

Where the AO becomes aware that a learner's qualification is disputable as evidenced by the results of an investigation, we will take all reasonable action to revoke any certificate if the result on the certificate is deemed false because of malpractice, maladministration, or is revealed to be inaccurate because of an appeals process.

In taking steps to revoke a certificate, the AO will make every effort to contact learner(s) informing them of the decision and will be informed to return the certificate within 21 days. Learners affected will also be informed of the consequences of continuing to use the qualification or award following revocation. Within the QMS the certificate will be invalidated rendering it void.

There will be no rights of appeal against the determination of a decision to deprive a learner of a qualification or to revoke a qualification. Aggrieved learners may wish to pursue a complaint about the process through the complaints process or through an independent arbitrator.

Replacement Certificates

IOSH offers a replacement certificate service where the original issued certificate:

- has not been received (*IOSH must be informed of the non-receipt within 1 month of it being issued*) or;
- where the certificate has been misplaced or damaged
- under some circumstances where there is a change of

A replacement certificate is an exact duplicate of the original certificate with the word 'Replacement' reflected upon it.

The time limit for IOSH to issue a replacement certificate is 10 years after the certificate issue date. Anything past this timeframe IOSH will issue a 'statement of achievement' letter.

The charges for a replacement certificate are in our Statement of Fees, available on our website.

Under normal circumstances, a replacement certificate will be issued when all conditions have been met for its replacement. IOSH will revoke any certificate if the result on the certificate is false because of malpractice or maladministration.

All requests for certificate replacement should be made to IOSH by completing the application form available on our website.

Replacement of certificates not received

If a certificate has not been received within 21 days of issue, a learner must provide written confirmation either directly to IOSH or via their Study Centre stating they have not received the original certificate. This must be done by completing the replacement certificate request form to enable re-issue and this information will be recorded on the IOSH learner record.

Certificate queries regarding errors

Any query relating to the issue of an IOSH certificate must be brought to the attention of IOSH within 1 month of the issue date on the certificate.

If a certificate is issued that contains an error, IOSH will not re-issue a certificate until the original is returned.

If the error is due to IOSH, no fee is charged for re-issue of the certificate and the Learner's electronic record will be updated to show another certificate has been issued, along with the date of re-issue.

Requests for other amendments to certificates

Please note that IOSH does NOT amend and replace certificates, in the following situations:

- following a Learner's name change by marriage or divorce
- following a Learner's name change but not by deed-poll
- following a Learner's name change by deed-poll after the certificate has been claimed
- the addition of Post Nominal letters for example: OBE, MBE, BA (Hons) etc.
- where the original certificate was issued with the Learner's initial or abbreviated/shortened first name and surname and the Learner or centre is requesting the re-issue of the certificate in the Learner's full name

The cases where we may alter, re-issue or replace certificates are for Learners who may be at risk of discrimination and in accordance with the requirements of the Equality Law. Each request will be considered on a case-by-case basis, but examples of instances are:

- persons under government witness protection
- persons who have undergone gender reassignment

The decision whether to re-issue a certificate following a requested name change can only be authorised by the Head of Awarding Organisation who will decide whether the reason given on the replacement form is valid.

- Two forms of identification in the new or correct name, one of which confirms current address, for example, a copy of the learner's passport, Identity photocard, driving license and a copy of a recent bank statement or utility bill (no more than 3 months old containing current name and address)
- Evidence which links the name on the certificate to the applicant's new or correct name, for example, a letter from the centre which references the old name or confirms it was spelt incorrectly, or proof of your change of name, for example, a copy of your deed poll, legal affidavit or similar official documentation (showing both previous and current names)

Replacement requests for lost certificates

If Learners have lost the original certificate(s), they can order replacement one(s) in their original name.

Amendments will only be made to replacement certificates if the relevant criteria listed in the section "Requests for other amendments to certificates" above applies.

In all other circumstances replacement certificates will only be issued with the original name of the learner. Applicants can share the replaced certificate(s) to interested parties alongside official documentation which confirms any change to name.

Replacement Certificates for withdrawn qualifications

IOSH is unable to issue replacement certificates for withdrawn qualifications.

We will endeavour to provide a statement of achievement if we hold results for qualifications that were completed in the past 10 years. A formal statement of achievement is an official document produced by IOSH when we cannot provide a replacement certificate.

Timeframes for certificate replacement

	Current qualifications	Withdrawn qualifications
Replacement of electronic certificate	25 working days	30 working days
Certificate Amendment	25 working days	30 working days
Statement of Achievement	25 working days	30 working days
Printing of hard copy certificate	25 working days	30 working days

Replacement Certificate Application

IOSH will issue replacement certificates as outlined in this policy.

Please complete a Replacement Certificate Application Form available on our website. Please ensure that details requested on the form are submitted as accurately as possible to enable us to produce the replacement certificate.

Charges and information regarding replacement certificates can be found on the Fees and Pricing page on our website.

Proof of ID

Proof of ID will be required to support any application and can be any one of the following:

Monitoring & Review

This policy will be reviewed annually in line with the annual self-assessment as part of IOSH's ongoing quality improvement monitoring

IOSH will review this policy on an ongoing basis for continuous improvement and to address regulatory changes, operational feedback or concerns brought to the attention of IOSH to ensure the policy remains fit for purpose.