



2018

Policies of the Professional Institute of Marketing and Business Studies Ltd.



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P1000 Letters to the Public

This policy addresses the labelling of letters to the public.

No letter is to be addressed to “TO WHOM IT MAY CONCERN”

Letters must be addressed to a specific person within a specific office and/or at a specific address.

The rationale for this policy comes from the fact that such letters, should there be a need to follow up, requires a specific name, office and address.

P1001 Payment of Fees upon Registration

This policy addresses the first payment of a student in Secondary School.

Students/Parents/Guardians are expected to pay two (2) installments initially, before their monthly installments begin.

The exception to this applies when students/parents pay in full.

The rationale for this policy is due to the fact that students, once they leave for examinations in May, many of them cease payments. The initial payments negate the risk of a student becoming un-financial.

P1002 Release of Personal Information of an Employee or Student

This policy addresses the release of personal information of an Employee or Student.

1.0 The policy for such release is that it shall not be released under any circumstances as it is personal, private and confidential.

2.0 Exceptions: There are two exceptions to Section 1.0 above

- (i) if the employee or student gives permission to release same either orally or in writing.
- and (ii) in a case where such information is required to assist the Police or other Security Department/Credit Department in an investigation.

3.0 The rationale for this policy is that the personal information of the employee or student is confidential. This policy includes the following information:- address, phone number, date of birth, registration number and other information that would be unique to the employee or student.

P1003 VISA/Immigration letters

This policy addresses writing of letters for students who are applying for visas to enter foreign countries.

As a result, if the request is done in the final term, it is necessary for the student to register for the new term, in order to obtain letter stating that they are “registered student” and their duration of study. In order to be “registered” they must be financial for the period in which they are seeking to travel and return.

The letter must also be phrased in a specific manner (according to the template) so that the authenticity can be verified, above and beyond the signature.

The rationale for this is that the embassy or High Commission requires that the student to return to the country of origin – (in the case of Citizens of Trinidad and Tobago, they are required to return to Trinidad and Tobago).

In the case of a foreign national requesting a letter to leave Trinidad and Tobago and go to another country other than their place of birth, again, the student must be “registered” with the institution during the period of travel.

Immigration letters will only be given to foreign nationals who are studying FULL TIME with the institution. Full time means more than twelve (12) hours a week between 8 a.m. and 4 p.m.

The rationale for this policy is that such letters can only be given to students who are expected to return to the institution for full time study.

P1004 Letters for the Bank

(or other Financial Institution)

This policy addresses the composition of letters for the bank, for employees who desire a loan.

This is known as a job letter. The letter must be addressed to a specific person at a specific bank or other bona fide financial institution. The letter must be phrased in a specific manner (according to the template) so that the authenticity can be verified, above and beyond the seal and signature.

The rationale for this policy is to authenticate the letters being written.

P1005 Letterheads

This policy addresses the management of letterheads.

The letterhead is a controlled document. It is controlled by the Records Department and the custodian is the Financial Controller.

The authorized signatories the Chairman, the Corporate Secretary, the Managing Director, the Business Development Director and the Chief Financial Officer. No other officer or employee of the institute has any right or authority to sign a letterhead.

If for any reason neither of these officers are available to sign, a reason should be provided within the letter as to why someone else is acting as signatory.

The rationale for this policy is the reduction of fraud in the use of a letterhead and the authenticity of the directive(s) given on the letter.

P1006 Controlled Documents

This policy addresses the Controlled Documents and how they should be handled.

Controlled documents at the Professional Institute of Marketing and Business Studies Ltd. are letterheads, the Blue Book of Policies and Procedures, The Quality Assurance Manual and the Quality Systems Requirement (the latter two now encompassed within the ISO 9000:2015 manual).

These documents shall be housed at the Front Office as the Master Copy.

The rationale for this policy is that there would be elimination in tampering with the source document and a true representation of the documents will always be at hand.

P1007 Teachers writing recommendations

This policy addresses the act of teachers writing recommendations.

The teachers, should they choose to write recommendation for a student, do so of their own free will and will not be afforded the use of the Company letterhead (Controlled document) for this purpose.

The rationale for this policy is that the letterhead is a controlled document.

P1008 Placing a Complaint and its Processing

This policy addresses the process of lodging a complaint and its processing.

A complaint **MUST** be given in writing. Once this is done, it will be investigated in accordance with the Quality Systems Requirements for the Quality Forum and Corrective Action Teams and Corrective Action Teams (CATs) and/or the Grievance Procedure in the Blue Book of Policies and Procedures.

The rationale for this policy is that complaints should be documented so that the very nature of the complaint could be examined fully and corrective measures implemented.

P1009 Refunds Policy

- 1.0 This policy addresses the granting of Refunds to Students.
- 2.0 If a course is not run by the Institution, and a student has paid for the course, whether in part or in full, the student will get a full refund.
- 3.0 If a course is offered and/or in session and the student has not attended any classes, but has paid registration, caution fee, ID and partial or full tuition fees, the partial or full tuition fee and caution fee will be refunded only.

The caution fee will be refunded in this case only once an investigation has been undertaken to determine whether the student has returned any and all effects to the Institution or has repaid the institution for any damaged or lost property.
- 4.0 If a course is running and the student has attended classes, no refund will be given under any circumstances
- 5.0 If a course is running and the student has not attended classes, and three months pass and the student has not officially withdrawn, no refund will be granted.

The rationale for this is that Registration fees and ID fees would have already been consumed through the processing of paperwork and the production of the ID card. Income under that period would be taxed within three months. As a result, no refund will be granted.
- 6.0 Students pursuing Introduction to certificate in Marketing consume the caution fee when they take the online examination.
- 7.0 For the latest refund schedule please refer to Refund Policy in the latest Student Rules and Regulations.

P1010 Appeals Policy

This policy addresses the process of making and processing an appeal.

Procedure for Appeals

Refer to Appeals Procedure 1.1.3.12 (Blue Book)

1. All students who would like to appeal or query their exam mark are required to inform the external body or the institute that they would like to do so in 5 working days.
2. After informing the institute, the student is then required to fill out or write a letter stating exactly what he or she is querying.
3. The letter or form is then immediately sent to the appropriate foreign or local body.
4. The student then waits on a reply, which will state the procedure that the student and the institute have to undergo.

Independent appeal procedures for foreign bodies apply accordingly

APPEAL SYSTEM

Exams are formulized by:

1. Internally by our Lecturers – peers set exams for exams for each other’s mock exams
2. Externally as the external body sets the final exam

All exams have different marking systems depending upon the external body. For some exams, the system requires that the exam papers are marked internally before they are sent away to be marked externally. For other external bodies, the exam paper only needs to be marked externally.

Appeals Procedure

In order to ensure that students receive fairness in term of results, special arrangements and special considerations, PIMBS Ltd. has established an appeals procedure. This applies to all students sitting examinations for local and international programmes.

Appeal procedure against results

1. When receiving their results students are advised of the possibility to appeal their results.
2. If a student wants to investigate his/her results, he/she must inform the program coordinator.
3. PIMBS Ltd. will provide students with an appeal form (re: 9-10 Blue Book).
4. A copy of the completed appeal form will be filed in the student record file.
5. A copy of the completed form will be given to the Award examination board
6. Students will be asked to pay for appeal/report fees (see table below)
7. After the completion of the investigation from the award examination board, the student will be advised of the board decision.

Appeal procedures against special arrangements or special consideration

When a student requests special arrangements or consideration for examinations and for any reasons his request is not granted, the student has the opportunity to appeal.

The appeal procedures for special arrangements and considerations follow the same procedure as the appeals procedure for results.

1. Students are informed of the possibility of appealing the decision given by the particular institution.
2. Students will fill the appeal form for the respective program.
3. Appeal will be sent to the institution
4. Feedback will be given to students.
5. The entire process will be documented and recorded in the student's file.

Trinidad and Tobago dollar conversation 1 pound sterling to 10 TT (2017)

Service Number	Service	Description	Fee (£)	Fee (£)
1	Clerical Re-check	A full re-check of the marks for an individual candidate (per module / per candidate)	10.00	10.00
2	Re-mark	A re-mark of assessed scripts including a full clerical check for an individual candidate (per module / per candidate)	20.00	20.00
3	Re-mark and report	A re-mark of assessed scripts including a full re-check and detailed report on an individual candidate's performance (per module / per candidate)	50.00	50.00
4	Re-mark and report on a group of candidates	A re-mark of assessed scripts for <4 to 16> candidates for a given module including clerical check recheck and a general report on the work of the group. Report on the work of individual candidates will not be supplied per module for the first 5 candidates. Each additional candidate up to a maximum of 15	200.00 18.00	200.00 18.00

P1011 Grievance Procedure

The following flow chart summarizes the grievance procedure

1.0 Reconsideration

An employee may request a review of the title of their position through the Quality Assurance Manager. A Reconsideration is a paper review of the classification decision made by the employee's immediate superior or an external human resource consultant appointed by the Board and may involve a discussion with the employee and the immediate superior. The request should not, however, be initiated until the question and issues surrounding the case have been discussed with the Quality Assurance Manager and/or the employee's immediate superior. These discussions will provide an opportunity to resolve problems based on confusion, misunderstanding and lack of information. A decision by the board will be made within 60 calendar days from the date of receipt of the request and communicated to the affected employee. If the board fails to issue a decision within the allotted time, the employee may seek redress and submit a classification appeal to the Ministry of Labour.

2.0 Classification Appeals

2.1 What May Be Appealed

The following aspects of a position may be appealed:

- Grade level of the position.
- Official title (but not the organizational title) of the position, when the applicable classification standard has not prescribed the title.
- Position's inclusion in or exclusion from GS or the WS

2.2 What May Not Be Appealed

The following issues are not appealable, but they **may be grievable** under the administrative grievance procedures:

- Accuracy of the PD, including the inclusion or exclusion of a major duty.

- Assignment or detail outside the scope of the normally performed duties outlined in the PD.
- Accuracy, consistency, or use of any supplemental classification guides issued by the Department.
- Title of the position that has established as the official position title. For information regarding grievance procedures, see Grievance procedure for employees.

2.3 What May Be Neither Appealed Nor Grieved

Recourse is not offered in every case. The following classification issues are neither appealable nor grievable:

- Classification, grade level, or pay system of a position to which an employee is not officially signed by an official personnel action (e.g. an employee cannot appeal the classification of someone else's position).
- Proposed classification of a position before the classification action actually takes place.
- Adequacy of the classification criteria
- Classification of a position based on comparisons with other positions (regardless of where those positions are located).
- Classification appeal decision issued when no changes have occurred in either the major duties of the position or the applicable classification standard(s).
- Rate of pay or the property of a wage schedule rate for WS employees

2.4 Who May File an Appeal

Any employee may file a classification appeal either personally or through a designated representative.

An appeal should not be initiated until the questions and issues surrounding the case have been discussed with the Quality Assurance Manager and/or the employee's immediate superior.

2.5 Representation

An employee may designate an individual to assist in preparing and presenting the appeal. In performing these duties, the representative will be free from restraint, interference, coercion, or reprisal.

The employee has one (1) calendar month in which to lodge an appeal.

If the appellant seeks the assistance of an external representative, the representative may **not** be present during a classification audit nor may the representative participate in any other fact finding activities unless the office conducting the review specifically requests such participation.

2.6 Where to file an Appeal

The employee can file an appeal to the office of Quality Assurance.

2.6.1 When to File an Appeal

The Appeal may be filed no later than 15 calendar days and not more than 300 calendar days following the effective date of the reclassification action.

2.6.2 Information Required to File an Appeal

Every appeal case must include the following information:

- Appellant's name, e mail and cell phone number
- Organizational location of the position (department, section)
- Current title, occupational series, pay plan, and grade of position being appealed

Requested title, occupational series, pay plan and grade

- Copy of the official PD with a cover sheet or attached statement verifying the accuracy (-if the appellant believes the PD is inaccurate, an alternative PD, an outline of alleged discrepancies should also be provided).
- Copy of the most recent classification statement evaluating the position.
- Statement identifying what is wrong with the current classification and supporting the requested classification; reference should be made to the applicable classification standards.

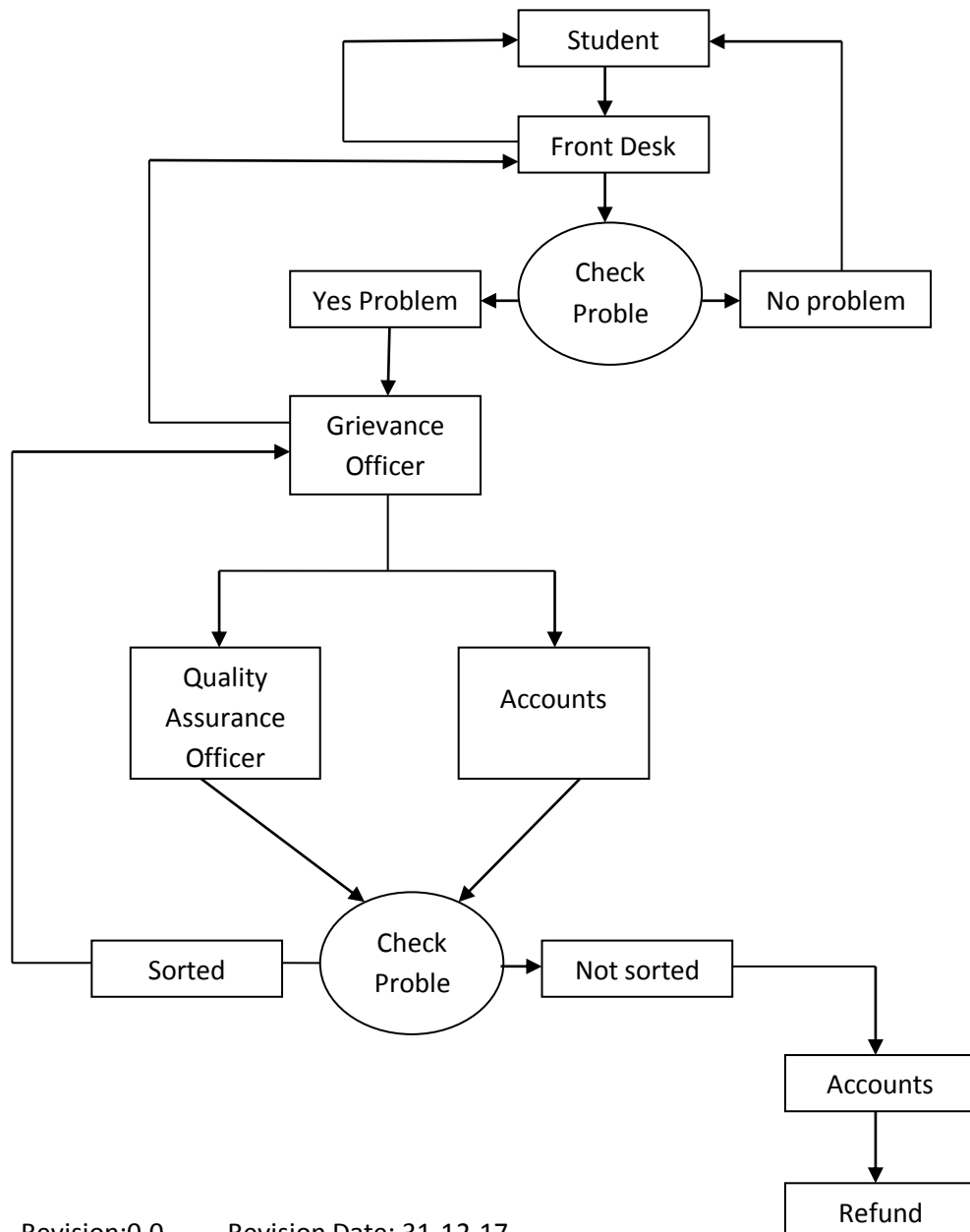
- Name, business address, and phone number of the appellant’s representative (if applicable).

2.6.3 Cancelling an Appeal

An appeal will be cancelled if:

- The appellant requests, in writing, that the appeal be cancelled.
- The appellant fails to provide the information needed to support the case.
- The appellant vacates the position being appealed; unless special circumstances (e.g. appellant may be entitled to back pay) dictate the appeal go forward.

Flowchart showing Grievance Procedure



GRIEVANCE PROCEDURE

1. A PIMBS Ltd. Student may have an issue to bring forward, such as:
 - a. They are requesting a refund
 - b. Their local or foreign fees have not been paid
 - c. They are falling behind in a course and wish for an extension
 - d. They are unable to continue the course any longer for some reason
 - e. Their lecturer is in breach of contract.
2. The Programme Coordinator (at the front desk) is the person to receive the information pertaining to the issue (whether presented to them in writing or presented to them verbally) and deals with the issue accordingly.
3. If the issue can be dealt with at the point of the Programme Coordinator e.g. Item (b) above and the Programme Coordinator can resolve the issue without involving any other member of staff, the matter ends there. However, if the Programme coordinator is unable to resolve the issue, it is then referred to the Grievance Officer or the School's Principal.
4. Depending upon the nature and the seriousness of the problem, the Grievance Officer will deal with the student directly or pass it on to either the:
 - a. Quality Assurance Department
 - b. Accounts Department
5. Quality assurance or Accounts Department will then try to solve the issue. If the issue is solved, the solution is given back to the Grievance Officer who then forwards it to the Programme Coordinator. The student would then be notified of the outcome by the Programme Coordinator, either in person or via telephone.
6. If the issue cannot be sorted, it is referred to the Accounts Department for tracing of transactions and possible refund. Any request for refunds must be made in writing and PIMBS Ltd. endeavours to settle valid cases within 14 days.
7. If no suitable recourse can be found to appease the Student and Administration the matter will be referred to the board, and possible legal action will be explored.

Appeals against the Outcome of Application for Special Arrangements and Special Considerations

- a. If, having received the result of any application, the student wishes to appeal against the outcome, the student may submit an appeal to PIMBS Ltd.
- b. The student must submit the appeal, in writing within 28days of the date of notification of the decision.
- c. PIMBS Ltd will inform the student of the outcome of their appeal within 28 days of the date of the appeal.
- d. The outcome of an appeal is guarded final and PIMBS Ltd. will not enter into further correspondence about an appeal with the Student or other party acting on their behalf after notification of the outcome of that appeal.

Objections to decisions of the PIMBS Appeals Committee

- a. Any objection to the decisions of the PIMBS Appeals Committee will be considered by the PIMBS Appeal Review Committee.
- b. Any appeal from a student must be in writing within 28 days of notification of the decision.
- c. Once an appeal is submitted all communications relating to the case must be in writing.
- d. No communication with candidates or their representatives will be entered into regarding an appeal.
- e. PIMBS Ltd will inform the student of the outcome of their appeal within 28 days of the date of the appeal.
- f. The outcome of an appeal is regarded as final and PIMBS will not enter into further correspondence about an appeal with the student or their representative after the notification of that outcome.

Appeals against the Outcome of Results Enquiry

- a. If, having received the result of any enquiry, a Student wishes to appeal against that outcome, the Student may submit an appeal to PIMBS Ltd. Appeals Committee.
- b. Students must submit appeals, in writing, within 28 days of the date of the notification of the decision.
- c. PIMBS Ltd. will inform the students of the outcome of their appeal within 28 days of the date of the appeal.
- d. The outcome of an appeal is regarded as final and PIMBS Ltd. will not enter into further correspondence about an appeal with the student or any of their representatives after notification of the outcome of that appeal.

P1012 Textbook rental

This policy addresses the issuance of textbooks provided by the Government of Trinidad and Tobago to the students of the Professional Institute of Marketing and Business Studies Ltd.

All textbooks under this programme that are given to students remain the property of the Government of Trinidad and Tobago. The student rental must be given to the citizens and residents of Trinidad and Tobago. Foreign nationals are not allowed to participate in this programme and hence are not eligible for textbook rental.

The rationale for this [policy is that there is a contract to be signed by the student or parent of the student to engage in this programme and they must be citizens of Trinidad and Tobago.

P1013 IT Policy including use of Internet

This policy addresses the use of the computers and internet.

COMPUTER SECURITY POLICY

1. Introduction

The Professional Institute of Marketing and Business Studies Ltd (PIMBS) Information Technology (IT) department has constituted the following procedure and policies for the use of computers, the handling, editing and deletion of any file stored within them as well as contingency planning for business continuity.

2. Access

All computers containing files needed by the Professional Institute of Marketing and Business Studies Ltd. are stored on the administrator accounts within the computers in the lab as well as the computers in the office. In order to gain access to these files, the user must know the password for that particular account. Files that are of very sensitive nature are stored on one computer and backed up on flash drives owned by the Managing Director and the Financial Controller. They are also stored on computer(s) that is (are) never connected to the internet or to the network as a precautionary measure to ensure that the malware cannot infiltrate the system.

3. Data storage and backup

All files used for the execution of daily business routines are saved on the computer and flash drive belonging to the Information technology officer as well as backed up on the Managing Director's computer. In case one file is damaged through any type of computer processing interruption (whether natural or man-made), the copy stored on the flash drive is then copied back onto the system and work commences. This incident is then made known to the Managing Director and a Non-conformance report is filed. After each task is finished and the final document is in the possession of the Managing Director, the Managing Director then backs those final drafts on a computer offsite via the internet.

4. Usage of flash media

All flash media which includes flash drives, secure digital cards and external hard drives must be scanned by the Information Technology Officer before being inserted in any computer within the computer lab as well as the main office. This is to ensure that no malware contained on them infect any computing device on the compound.

5. Maintenance of systems and networks

All software and hardware maintenance is done by the Information Technology Officer and/or the Information Technology Maintenance Technician (who is outsourced). This maintenance consists of upgrading of system files where necessary (these files are automatically downloaded from Microsoft when needed by the computer), upgrading the security files where necessary (these include upgrading of anti-virus software and anti-virus definitions) and restoring Internet Activity (resetting routers, ensuring all connections are in place). These also include hard wire repair and replacement which is done via the Information Technology Maintenance Technician.

6. The use of internet resources

The computing technology owned by the PIMBS Ltd. must be used with the goal of furthering studies or researching academic work related to courses officially taught by PIMBS Ltd. This covers the use of social networking sites (e.g. Facebook, Twitter etc.). These sites must only be accessed when given as a directive from the Managing Director and not to be used for personal reasons.

7. Illegal access of resources

Many security measures have been put in place for the safety of all data stored within PIMBS Ltd. Anyone caught illegally accessing data and/or computer resources will face immediate expulsion from PIMBS ltd. and the matter will be treated as theft. As such, the full brunt of the law will be applied.

8. E-mail policy

The company e-mail is one of its official means of communication with the public. As a result it should only be used by authorized personnel. All e-mails must be first placed in draft for the approval of the Marketing Manager or the Managing Director before being sent to the public. If an e mail is sent without approval, a verbal warning will be given in the first instance, a written warning will be given in the second instance and then dismissal if this practice persists.

9. Passwords

If the password for a programme has been given to an employee for use, the employee is not to change the password. However, if the employee does change the password without approval, a verbal warning will be given in the first instance, a written will be given in the second instance and then dismissal if the practice persists.

P1014 Equality of Opportunity

In the first few pages of the institute's manual the policy for PIMBS Ltd outlined "the PROFESSIONAL INSTITUTE OF MARKETING AND BUSINESS STUDIES Ltd. has been established to provide training to two categories of students:

1. "A" level students or HIGHER and
2. Mature working students

The most important pre-requisite is that the students are willing to learn, and upgrade their qualifications.

The main aims of PIMBS are:

- To provide relevant work related tuition in the area of Marketing and Business Studies.
- To ensure an adequate amount of field experience with relevance to the present work environment.
- To assist in the placement of graduates into jobs suitable to their experience.
- To provide this education at a reasonable cost

As a result PIMBS LTD. is an equal opportunity employer and will educate without preference.

PIMBS system for implementing and monitoring the policy on equality of opportunity

All staff members are informed of the institute's policy on equality of opportunity. They all receive a booklet stating the policies that govern the institute. The policies are periodically reviewed in order to ensure that the institute's policies are up-to-date. This is done by the QUALITY ASSURANCE DEPARTMENT, which governs every single aspect of the Institute.

The institute is set up in such a way that all staff who do not conduct themselves in this fashion, are automatically brought to the fore front, meaning that their "true colours" are brought to the surface in a very short space of time and then the institute sees to it that they dealt with appropriately.

The institute ensures that this policy of equality of opportunity is directed to both the students and the staff.

The institute has chosen to identify exactly what is classified as DISCRIMINATION.

“Discrimination occurs when an individual or group of individuals is subject to repeated, unwanted and/or unprovoked attention. Harassment can include vexatious or offensive verbal or written comments and can extend to physical abuse”.

P1015 Dealing with Disruptive Behaviour

This policy addresses dealing with Disruptive Behaviour.

Disciplinary action, resignation and Dismissal

Resignation of Employees

An employee is entitled to resign once he/she is in no way indebted to the institute. Employees must give at least one month's notification. Employees are expected to work throughout this time period unless they are relieved of this obligation by the institute.

Upon leaving the organization employees are required to do the following:

- Return to the institute all of the institute's materials including diskettes, books, manuals or anything that is the property of the institute. The return of such items must be acknowledged and signed off by the Managing Director.
- To return all lecture files and lecture sequences with the role of the students.
- To make a list of classes and activities undertaken, stating the position in the syllabus that has been reached
- Not to remove any materials from the institute unless they are checked
- Place corrected copies of all students' scripts under the employee's possession in a folder to be handed in to the institute.

Discipline

- Complaints pertaining to mistreatment should be discussed with the Managing Director
- Disciplinary action may be made against the offender after an investigation has taken place
- If complaints are true the offender would get minor suspension. If such behaviour continues, a more serious form of action will be taken
- All late arrivals must be explained
- Absences must be explained if a leave was not permitted
- A table showing the disciplinary actions for various offences can be seen below:

Key

- Vw – verbal warning
- Ww – written warning
- S – suspension
- D – dismissal

No.	Rules and Regulations	1 st offence	2 nd offence	3 rd offence	4 th offence
	Stop working before time schedule	Vw	Ww	S	
	Loitering or ‘liming’ during working hours	Vw	Ww	S	
	Leaving during working hours without permission or reason or after denied permission	Vw	Ww	S	D
	Habitual fail to sign attendance register	Vw	Ww	S	
	Repeated failure to be at work area ready to begin work at starting time	Vw	Ww	S	
	Smoking on the job except designated areas	Vw	Ww	S	
	Creating or contributing to unsanitary conditions	Vw	Ww	S	
	Posting or removal of signs or writing from bulletin board without permission	Vw	Ww	S	
	Willful violation of safety rules and safety practices	Vw	Ww	S	
	Damaging, misusing or wasting materials	Vw	Ww	S	
	Unexcused absenteeism	Vw	Ww	S	D
	Using obscene or abusive language and / or engaging in malicious gossip and or the spreading of rumours	Ww	S	D	
	Fooling around or throwing things around the office	Ww	S	D	
	Threatening, intimidating, coercing fellow employees or students on the job at any time for any purpose	Ww	S	D	
	Reporting for work under the influence of any alcoholic beverages or illegal substances	Ww	S	D	
	Gambling on institute’s time or	S	D		

No.	Rules and Regulations	1st offence	2nd offence	3rd offence	4th offence
	premises				
	Refusing to carry out a responsible order from the Managing Director pertaining to work / Gross insubordination	Ww	S	D	
	Deliberate and malicious destruction or damage to the institute's or fellow employee's property or equipment	S	D		
	Falsifying information in the execution of duties	S	D		
	Signing register for another employee	Ww	S	D	
	Theft of property of the Institute or other employee or student	D			
	Possession of or drinking liquor and/or using drugs within the Institutes premises	D			
	Possession of illegal weapons on the job	D			
	Willfully falsifying application for employment or other data requested by the Institute	D			
	Immoral conduct or indecency on the Institute's premises	S	D		
	Overstaying a leave of absence/break/vacation	Ww	S	D	
	Fighting on the job	D			
	Being rude and/or disrespectful and/or exchanging words with a member of the public	Ww	S	D	
	Engaging in personal work on the Institute's time	Ww	S	D	
	Allowing personal work/engaging in private business on the Institute's time	S	D		
	Sleeping during working hours	Ww	S	D	
	Reporting to work late on a regular basis	Vw	Ww	S	D
	Removing information from an employee's file without consent	S	D		
	Giving out confidential information without the consent of the Managing Director	D			

No.	Rules and Regulations	1st offence	2nd offence	3rd offence	4th offence
	Harassment of other employees on the job	Vw	Ww	S	D
	Poor or careless work habits	Vw	Ww	S	D
	Striking a member of staff or a student	D			
	Fraud or falsifying documents	D			
	Violating cash security procedures	D			
	Using the Institute's vehicles without permission or for purposes other than that of the Institute's business	Vw	Ww	S	
	Unauthorized accessing and/or altering of computer data	D			
	Discriminative actions towards fellow employees or students	Ww	S	D	
	Disciplinary action against the Managing Director can only be initiated by the Board of Directors in accordance with breaches identified in the terms and conditions of work				

P1016 Malpractice Policy and Procedure

1.0 Definition

Malpractice refers to maladministration by staff through an act, neglect or other practice that contravenes the integrity or validity of a process of the award of academic standards.

2.0 Scope

Examples of actions that may constitute malpractice are:

2.1 For Students

- Plagiarism
- Collusion
- Acting in a disruptive manner
- Threatening anyone in authority to alter regulations
- Destroying another student's work
- Misrepresenting the truth so as to affect the integrity of the assessment process
- Forgery of certificates

2.2 For employees

- Deliberately sabotaging the assessment process
- Biased assessment procedures
- Discrimination in the assessment process
- Marking a family member or relative scripts and not informing the Institution of this beforehand in disclosure

2.3 For the Institute

- Failure to follow procedures in accordance with the regulations of the awarding body
- Dishonesty with regard to handling student scripts
- Allowing students to continue working after time has expired to hand in work
- Failure to register a student for the appropriate award

- Failure to carry out internal assessment, moderation or verification in accordance with the procedures of the awarding body
- Misuse of awarding body logos and trademarks
- Failure to provide adequate facilities for the examination or for the security of the assessments
- Helping students to pass unfairly

3.0 Procedure for reporting Malpractice

Anyone can report a suspected incident of Malpractice to the Head of the Quality Forum. The Quality Forum has full authority to investigate.

4.0 Reasons for Appeal

Please refer to Blue Book of Policies and Procedures Section 1.1.13 on Appeal Procedure.

5.0 Monitoring and Review

An annual report will be produced of any cases of suspected and actual malpractice. The policy for malpractice will be reviewed every three (3) years.

6.0 Penalties for Malpractice

The appropriate penalty will be given in accordance with the type of malpractice enacted or attempted. For example:

- Plagiarism warrants the student's suspension from the programme
- Collusion warrants the student's mark being downgraded or complete failure of course
- Forgery of Certificates is a Criminal Offense and will be reported to the Fraud Squad of the Trinidad and Tobago Police and suspension from all classes
- Employees deliberately sabotaging the process will be fired
- Biased assessment procedures would be treated with second and third markers and the employee will not be allowed to mark for three years

The final penalty will be instituted in accordance with the judgment of the Quality Forum.

P1017 Personal Appearance Policy

1. Code of Dress

Employees should take pride in presenting themselves in a manner that would result in a positive reaction from existing and potential customers. Individuals should not only dress professionally (covered and decent in sober colours such as blue, black, white, deep green, tan, brown, burgundy, mauve and pastels to name a few), but also engage in good hygiene practices that will complement their overall appearance. Hair shall be well groomed and naturally coloured at all times. An employee's hairstyle shall not be a cause for concern provided it is kept tidy, clean and well combed, in keeping with setting a good example for students. For example a person who is not naturally blonde should not wear blonde hair colour.

2. What not to wear

With regard to work attire, clothes that are overly casual and reveal the shoulders, forearms, stomach or back, such as tube, tank or vest tops, T-shirts and apparel with offensive symbols to the Catholic Church such as skulls, pitch forks, snakes, demon heads, scissors etc. or distracting images and message must not be worn. Provocative clothing (such as sleeveless tops, muscle tops, and blouses or tops that are transparent or have deep necklines, extremely tight apparel and high slits) is also prohibited.

3. Shoes

Work shoes should complement the work apparel and satisfy the image required of the employee working at a school amongst students, while remaining functional. Men shall wear closed shoes and women open or closed toe shoes. Open toes shoes shall not consist of straps over toes or instep (e.g. sandals) the heel of the foot shall be anchored by a strap or backing of the shoe. Sandals or shoes with distracting accessories, such as flowers or baubles will not be accepted in the work place. If high heels are worn, they should be no higher than four inches due to health and safety risks.

4. Nails

Extremes in nail length should be avoided and with regard to make-up and nails, employees shall not use colours or patterns that could be distracting. Make-up and nails shall compliment one's dress. For example, it is a health and safety hazard to type with long nails as they may rip and cause bleeding. In terms of colours and patterns, if a person is wearing black, the nails could be French tipped or natural colour.

5. Jewelry

Jewelry should not distract or cause attraction, nor pose a possible harm to one self. Acceptable jewelry includes watches, rings, chains, small earrings and bracelets. Ankle jewelry, body piercing and nose rings are not appropriate for the environment. For the purpose of this policy, distracting jewelry shall consist of the following:

- Earrings larger than a 25 cent piece and/ or longer than 1 inch from the ear lobe
- Chain pendants larger than a 25 cent piece
- Colours and shades that do not maintain a high level of professionalism or do not compliment the outfit worn by employee

6. Piercing and tattoos

Employees shall not wear obvious and visible tattoos and are asked to refrain from visible body piercings while at work. These would include, but are not limited to, tongue, multiple ear piercing and eyebrow piercing, which are regarded as inappropriate for P.I.M.B.S Limited's image. Employees having tattoos are asked to keep them hidden from public view while working.

In general, there must be no skulls, symbols or other special designs on clothing, footwear or belts which could create distraction, or attract undue attention to the employee. It is the responsibility of each and every employee to uphold their policy which will be reviewed by P.I.M.B.S Ltd. Management on an annual basis or as required, so as to confirm with international standards.

P1018 Conflict of interest policy [COI]

1. Purpose

The purpose of this policy is to help Board members of the Professional Institute of Marketing and Business Studies [PIMBS Ltd.] to effectively identify, disclose and manage any actual, potential or perceived conflicts of interest in order to protect the integrity of PIMBS Ltd. and manage risk. This policy is also extended to members of staff.

2. Objective

PIMBS Ltd Board of Directors (hereinafter referred to as the ‘Board’ in this policy) aims to ensure that Board members are aware of their obligations to disclose any conflicts of interest that they may have, and to comply with this policy to ensure they effectively manage such conflicts of interest as may arise in their capacity as representatives of PIMBS Ltd.

3. Scope

This policy also will apply to immediate family members, Directors, committee members, staff members, who will be required to attest annually to their familiarity with this policy and to provide information concerning any possible conflict of interest so that disclosure, if necessary, is made.

Staff members and their immediate families will not benefit materially from the organization beyond receipt of salaries, fringe benefits, and reimbursement of authorized expenses.

4. Definition of conflicts of interests

A conflict of interest occurs when a person’s personal interests conflict with their responsibility to act in the best interests of the Company. Personal interests include direct interests as well as those of family, friends, or other organisations a person may be involved with or have an interest in (for example, as a shareholder). It also includes a conflict between a Board member’s duty to PIMBS Ltd. and another duty that the Board member has (for example, to another Company). A conflict of interest may be actual, potential or perceived and may be financial or non-financial. These situations present the risk that a person will make a decision based on, or affected by,

these influences, rather than in the best interests of the Company and must be managed accordingly.

5. Policy

This policy has been developed because conflicts of interest commonly arise, and do not need to present a problem to the Company if they are openly and effectively managed. It is the policy of PIMBS Ltd. as well as a responsibility of the Board, that ethical, legal, financial or other conflicts of interest be avoided and that any such conflicts (where they do arise) do not conflict with the obligations to the Company.

PIMBS Ltd. will manage conflicts of interest by requiring Board members and members of staff to:

- avoid conflicts of interest where possible
- identify and disclose any conflicts of interest
- carefully manage any conflicts of interest, and
- follow this policy and respond to any breaches.

5.1 Responsibility of the Board

The Board is responsible for:

- establishing a system for identifying, disclosing and managing conflicts of interest across the company
- monitoring compliance with this policy, and
- reviewing this policy on an annual basis, to ensure that the policy is operating effectively.

The company must ensure that its Board members are aware of PIMBS Ltd. governance policy, and that they disclose any actual or perceived material conflicts of interests as required.

5.2 Identification and disclosure of conflicts of interest

Once an actual, potential or perceived conflict of interest is identified, it must be entered into the company's register of interests, as well as being raised with the Board. Where all of the other

Board members share a conflict, the Board should refer to governance policy to ensure that proper disclosure occurs.

The register of interests must be maintained by a duly designated officer of PIMBS Ltd. by the Board and such officer will record information related to the conflict of interest (including the nature and extent of the conflict of interest and any steps taken to address it).

Confidentiality of disclosures

Access to the information disclosed is restricted to the Chairman and in his absence a designated member of the Board.

6. Action required for management of conflicts of interest

6.1 Conflicts of interest of Board members

Once the conflict of interest has been appropriately disclosed, the Board (excluding the Board member disclosing and any other conflicted Board member) must decide whether or not those conflicted Board members should:

- vote on the matter (this is a minimum),
- participate in any debate, or
- be present in the room during the debate and the voting.

In exceptional circumstances, such as where a conflict is very significant or likely to prevent a Board member from regularly participating in discussions, it may be worth the Board considering whether it is appropriate for the person conflicted to resign from the Board.

6.2 What should be considered when deciding what action to take

In deciding what approach to take, the Board will consider whether:

- the conflict needs to be avoided or simply documented
- the conflict will realistically impair the disclosing person's capacity to be impartial
- the disclosing person should participate in decision-making

- there are alternative options to avoid the conflict
- the Company's objectives and resources will be at peril, and
- there is a possibility of creating an appearance of improper conduct that might impair confidence in, or the reputation of, the company.

The approval of any action requires the agreement of at least a two thirds majority of the Board (excluding any conflicted Board member(s) who are present and voting at the meeting). The action and result of the voting will be recorded in the minutes of the meeting and in the Register of Interests.

7. Compliance with this policy

If the Board has a reason to believe that a person subject to the policy has failed to comply with it, it will investigate the circumstances.

If it is found that this person has failed to disclose a conflict of interest, the Board may take action against them. This may include but not be limited to seeking to terminate their relationship with the Company.

P1019 Data Protection Policy

1. Introduction

The Professional Institute of Marketing and Business Studies (PIMBS) Ltd needs to collect and use certain types of information about the Individuals or Service Users who come into contact with it in order to carry on work. This personal information must be collected and dealt with appropriately whether it is collected on paper, stored in a computer database, or recorded on other material and there are safeguards to ensure this under the Data Protection Act 2011.

2. Data Controller

PIMBS Ltd. is the Data Controller under the Act, which means that it determines what purposes personal information held, will be used for. It is also responsible for notifying the Information Commissioner of the data it holds or is likely to hold, and the general purposes that this data will be used for.

3. Disclosure

PIMBS Ltd. may share data with other agencies such as the local authority, funding bodies and other voluntary agencies. The Individual/Service User will be made aware in most circumstances how and with whom their information will be shared. There are circumstances where the law allows the disclosure of data (including sensitive data) without the data subject's consent.

These are:

- a) Carrying out a legal duty or as authorised by National Security
- b) Protecting vital interests of an Individual/Service User or other person
- c) The Individual/Service User has already made the information public
- d) Conducting any legal proceedings, obtaining legal advice or defending any legal rights

- e) Monitoring for equal opportunities purposes, for example but not limited to race, disability or religion
- f) Providing a confidential service where the Individual/Service User's consent cannot be obtained or where it is reasonable to proceed without consent e.g. where we would wish to avoid forcing stressed or ill Individuals/Service Users to provide consent signatures.

PIMBS Ltd. regards the lawful and correct treatment of personal information as very important to successful working and maintaining the confidence of those with whom we interact, and as such intend to ensure that personal information is treated lawfully and correctly.

In this regard, the Institute will fully subscribe to the Principles of Data Protection, as detailed in the Data Protection Act 2011.

Specifically, the Principles require that personal information *inter alia*

- a) Shall be processed fairly and lawfully and, in particular, shall not be processed unless specific conditions are met,
- b) Shall be obtained only for one or more of the purposes specified in the Act, and shall not be processed in any manner incompatible with that purpose or those purposes,
- c) Shall be adequate, relevant and not excessive in relation to those purpose(s)
- d) Shall be accurate and, where necessary, kept up to date,
- e) Shall not be kept for longer than is necessary
- f) Shall be processed in accordance with the rights of data subjects under the Act.

Through appropriate management and strict application of criteria and controls, the Institute endeavours to

- Observe fully conditions regarding the fair collection and use of information
- Meet its legal obligations to specify the purposes for which information is used

- Collect and process appropriate information, and only to the extent that it is needed to fulfil its operational needs or to comply with any legal requirements
- Ensure the quality of information used
- Ensure that the rights of people about whom information is held, can be fully exercised under the Act. These include:
 - o The right to be informed that processing is being undertaken,
 - o The right of access to one's personal information
 - o The right to prevent processing in certain circumstances and
 - o The right to correct, rectify, block or erase information which is regarded as wrong information
- Ensure that personal information is not transferred abroad without suitable safeguards
- Treat people justly and fairly whatever their age, religion, disability, gender, sexual orientation or ethnicity when dealing with requests for information
- Set out clear procedures for responding to requests for information

4. Data collection

Informed consent is when

- An Individual/Service User clearly understands why their information is needed, who it will be shared with, the possible consequences of them agreeing or refusing the proposed use of the data and then giving their consent.

The Institute will ensure that data is collected within the boundaries defined in this policy. This applies to data that is collected in person or by completing a form and when collecting data, the Institute will ensure that the Individual/Service User:

- a) Clearly understands why the information is needed

- b) Understands what it will be used for and what the consequences are, should the Individual/Service User decide not to give consent to processing
- c) As far as reasonably possible, grants explicit consent, either written or verbal for data to be processed
- d) Is, as far as reasonably practicable, competent enough to give consent and has given so freely without any duress
- e) Has received sufficient information on why their data is needed and how it will be used

5. Data Storage

Information and records relating to service users will be stored securely and will only be accessible to authorised staff and volunteers.

Information will be stored for only as long as it is needed or required by the laws of Trinidad and Tobago and will be disposed of appropriately.

6. Data access and accuracy

All Individuals/Service Users have the right to access the information our Institution holds about them. The Institute will also take reasonable steps ensure that this information is kept up to date by asking data subjects whether there have been any changes.

In addition, the Institution will ensure that:

- It has a Data Protection Officer with specific responsibility for ensuring compliance with Data Protection
- Everyone processing personal information understands that they are contractually responsible for following good data protection practices
- Everyone processing personal information is appropriately trained to do so
- Anybody wanting to make enquiries about handling personal information knows what to do

- It will regularly review and audit the way it holds, manages and uses personal information
- All staff are aware that a breach of the rules and procedures identified in this policy may lead to disciplinary action being taken against them

This policy will be updated as necessary to reflect best practice in data management, security and control and to ensure compliance with any changes or amendments made to the Data Protection Act 2011.

In case of any queries or questions in relation to this policy please contact the Data Protection Officer:

Mr. Graham Newling
c/o Professional Institute of Marketing and Business Studies Ltd.
#1 Harris Street,
Curepe,
Trinidad and Tobago

Signed:

Position:

Date:

Review Date:

Glossary of Terms

Data Controller – The person who (either alone or with others) decides what personal information the Professional Institute of Marketing and Business Studies (PIMBS) Ltd. will hold and how it will be held or used.

Data Protection Act 2011 – The Trinidad and Tobago legislation that provides a framework for responsible behaviour by those using personal information.

Data Protection Officer – The person(s) responsible for ensuring that PIMBS Ltd. follows its data protection policy and complies with the Data Protection Act 2011.

Individual/Service User – The person whose personal information is being held or processed by PIMBS Ltd. for example: Students, a client, an employee, etc.

Explicit consent – is a freely given, specific and informed agreement by an Individual/Service User in the processing of personal information about her/him. Explicit consent is needed for processing sensitive data.

Notification – Notifying the Information Commissioner about the data processing activities of PIMBS Ltd, as certain activities may be exempt from notification.

Information Commissioner – The Trinidad and Tobago Information Commissioner responsible for implementing and overseeing the Data Protection Act 2011.

Processing – means collecting, amending, handling, storing or disclosing personal information.

Personal Information – Information about living individuals that enables them to be identified – e.g. name and address. It does not apply to information about organisations, companies and agencies but applies to named persons, such as individual volunteers or employees within (GROUP).

Sensitive data – refers to data about:

- Racial or ethnic origin
- Political affiliations
- Religion or similar beliefs
- Trade union membership
- Physical or mental health
- Sexuality
- Criminal record or proceedings

P1020 Ethics and Conduct

Overview

The Professional Institute of Marketing and Business Studies (PIMBS) Ltd. seeks to ensure its members of staff adhere to a strict code of ethical behaviour and that they are mindful of their conduct, not only when working with clients but in their conduct when working with other PIMBS Ltd. staff members.

Definition

For the purpose of this policy, staff members include members of Management and the Board.

Principles

PIMBS Ltd. staff, including those sub-contracted to meet the demands of the organisation, will adhere to the following principles of ethical behaviour:

Amplification

Integrity

- Staff will act with the utmost integrity in their approach to their duties within PIMBS Ltd.
- Staff will strive to work in accordance with the requests of PIMBS Ltd. clients whilst maintaining their integrity at all times
- Should staff members believe there is a conflict in their ability to remain impartial or feel their integrity has been compromised, they must raise this immediately with the Managing Director

Objectivity

- Staff will remain objective in their dealings with PIMBS Ltd. clients and ensure their actions reflect the level of responsibility to which they have been assigned;
- Staff will consider their objectivity in giving opinions and statements to staff or clients or members of the public within PIMBS Ltd.

- Should staff believe there is a conflict in their ability to remain objective to the requests of the clients and PIMBS Ltd. or where a staff member feels their objectivity has been compromised, they must raise this immediately with the Managing Director. Should this be the case with the Managing Director the decision should be guided by the **Conflict of Interest Policy**.

Professional competence and due care

- Staff will act with due care and attention whilst carrying out the requests of PIMBS Ltd., whether this be at a client's premises or whilst acting on behalf of PIMBS Ltd. at a function or event;
- Staff will demonstrate their level of experience, expertise and professional skill whilst carrying out their performance at PIMBS Ltd.
- Staff members will have their performance monitored over time and will be subject to formal annual reviews of performance to determine if their skills, knowledge and understanding are commensurate with their role

Confidentiality

- Staff will maintain the confidentiality of PIMBS Ltd. clients whilst on clients' premises
- Staff will ensure information they obtain in relation to a client, directly or indirectly, is retained securely and is not shared with unauthorised personnel, without the written permission of the Managing Director.

Professional Behaviour

- Staff will behave professionally at all times and must be mindful of how their actions will reflect on PIMBS Ltd.

Considerations

In addressing the aforementioned points, staff will consider the wider implications of their actions by considering the following:

- Their approach to acting fairly towards customers (internal and external);

- If what they are about to do or propose to do is in the best interests of the customer;
- Whether their actions are considered honest and truthful;
- Whether they would like to be treated in a particular way if they were a customer;
- How their actions would look, or be perceived by, a third party or by the employer;
- How their actions would appear to PIMBS Ltd.
- Whether they should refer their concerns or actions to their line manager

Risk considerations

PIMBS Ltd. will consider the impact of its ethical conduct in line with its policy on risk management. PIMBS Ltd. will also include relevant risks and issues on its register and issues log.

Breaches

Where there is clear evidence of breach against the ethical principles, these will be documented and shared, in the first instance, with the Board, as PIMBS Ltd. Governing Body. Information will be shared amongst other governance groups, as deemed appropriate.

P1021 Issuance of Qualification Certificates Policy

PIMBS Ltd. will issue student certificates with the minimum amount of delay and only when there is clear irrefutable evidence that the student has achieved the results and is therefore eligible to receive the award. Once a student has met the required learning outcomes of each unit (or qualification where single units apply), PIMBS Ltd. will issue the student their certificate. PIMBS Ltd. will adhere to the following timelines when issuing its certificates:

For 3 month courses (1) 2 weeks after examination the results will be made known to the student and (2) 1 month thereafter the certificate will be issued.

For courses greater than 3 months (1) 1 month after examination the results will be made known to the student and (2) 2 months thereafter the certificate will be issued.

Qualification Certificates

1. Qualification Certificates are issued when a learner has achieved the full qualification.
2. Qualification Certificates are generated from the database, by authorised persons only
3. There is a template in the database that contains the following information:
 - a) Full name of Awarding Organisation
 - b) Student's name as registered
 - c) Level of attainment of the student
 - d) Level of qualification (or credit)
 - e) Date certificate issued, in the format of day/month/year e.g. (30/10/1972)
 - f) The regulator's qualification logos in the format specified by Ofqual, and other regulators, if appropriate

Upon receiving accreditation from an international body, the following will be added:

- g) The accredited qualification title, as indicated on the Register of Qualification
- h) The accreditation qualification number
- i) Unique Certificate serial number

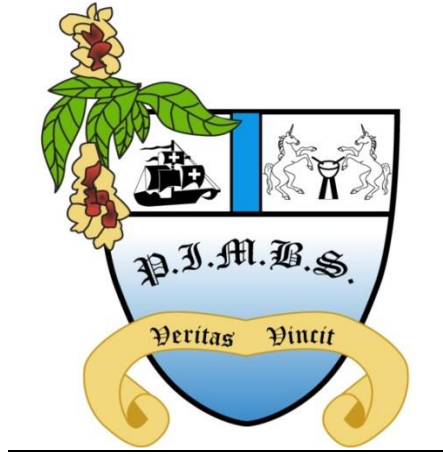
Issuance of replacement certificates

Prior to the issuance of certificates, students must first complete a report form. PIMBS Ltd. undertakes a review to determine the accuracy of information provided by candidates. Only when we are completely satisfied that the credit or full qualification certificate is lost or destroyed, do we issue a replacement certificate for which a fee of \$40TTD for courses of 3 months and \$120 TTD for courses greater than 3 months is levied against the student. Upon issuing a replacement certificate, the replacement certificate is issued with a different certificate number from that on the original certificate.

The replacement certificate includes the wording “replacement certificate” in a prominent location but no so much as to detract from the student’s achievement. When the replacement certificate is generated by the database, an electronic copy of the certificate is recorded in the student’s record, showing the date certificate was printed and the name of the authorised user.

The protocol also includes a guidance note which is sent along with the certificate, reminding the student of their duty to return said duplicate, should their original certificate be discovered. Where certificates are damaged, this should be submitted with the request and necessary replacement certificate fee. The replacement certificate is sent by post to the student’s preferred address.

P1022 Health and Safety



OCCUPATIONAL HEALTH AND SAFETY ACT No. 1 of 2004

The Professional Institute of Marketing and Business Studies Ltd. believes that the Health and Safety of Staff, Customers and the general public are very important.

The Professional Institute of Marketing and Business Studies Ltd. general policy on Health and Safety is:

- To provide adequate control of the health and safety risks arising from work activities;
- To consult with our employees on matters affecting their health and safety;
- To provide safe systems of work
- To provide and maintain safe facilities and equipment
- To ensure safe handling and use of substances;
- To provide information, instruction and supervision for employees;
- To ensure all employees are competent to do their tasks, and to give them adequate training;
- To prevent accidents and cases of work-related ill health;
- To maintain safe and healthy working conditions;
- To review and revise this document as necessary at regular intervals;
- To ensure commitment to health and safety issues;
- To maintain safe transportation of articles;
- To ensure continual improvement of employee conditions.

CHAIRMAN

P1023 PIMBS Ltd. Attendance and Punctuality Policy

1.0 Introduction

Attendance and Punctuality are vital ingredients for the success of students in the pursuit of any programme. While all students have the desire to succeed, cultural and life realities sometimes hinder students from attending lectures in a timely and consistent manner.

As the factors that influence student attendance and punctuality remain largely hidden from the Institution, the outcome of the influence is monitored by PIMBS Ltd. through the PIMBS Ltd. **Attendance Monitoring Form**. Once a pattern over four (4) consecutive lectures has been established that a student is falling below the required minimum attendance and punctuality level (as described below), this student is deemed “at risk” of not succeeding in the particular programme. Missing or being late to a session can be disruptive for the whole class. To miss or be late to a session without good reason is therefore, disrespectful to both staff and students present and is self-defeating. Fundamentally, in order for students to gain the most from their time at PIMBS Ltd., it is very important that they achieve excellent attendance and punctuality.

This policy outlines PIMBS Ltd. system for monitoring attendance and punctuality and clarifies the principles underpinning this system.

2.0 Aims

Realistic and challenging targets for attendance and punctuality have been set at 80% attendance and 80% punctuality for all students.

3.0 Attendance and Punctuality Policy Statement

PIMBS Ltd. expects all students to attend all planned and programmed sessions, included within the student’s learning programme. The expectation of all students attending classes is an attendance level of 80% or greater and punctuality level of 80% or greater. PIMBS Ltd. will apply consistent and rigorous procedures to monitor student attendance and will offer appropriate support to help and encourage students to comply with PIMBS Ltd. attendance targets.

4.0 Record of Attendance and Punctuality

Attendance and punctuality is recorded on the Attendance Monitoring Form, which is already prepared with the Lecturers’ name, Course, Time and Date, along with students’ names. All other details will be completed by the Lecturer at the end of the class. PIMBS Ltd. will ensure this record is consistently completed by Lecturers and is accurate. The form itself records

whether the student was present, absent or late for class, and if late, by how many minutes. (See form in Appendix)

4.1 Definitions

Student “present”

A student is marked in attendance (√) if they are present at the beginning of the class and remain in that session until its conclusion.

(i) Student “absent”

A student is marked as absent (0) when they do not attend any part of the scheduled session.

(ii) Student “lateness”

A student is deemed late and marked (L) when they arrive after the scheduled start of the session. The number of minutes late is also recorded, according to the clock in the classroom.

(iii) Comments

The Comment section on the form will be used to document any unusual occurrences, for example, if the student leaves the session early or if the session was interrupted for any reason example power outage, earthquake etc.

5.0 Responsibilities and Procedures

Responsibilities of:

5.1 Students enrolled in the GATE programme

Students taking GATE programmes are automatically committed to an attendance rate of at least 75%, set by the Government of Trinidad and Tobago. However, it is the expectation of PIMBS Ltd. that attendance should not fall below 80% and that students should be punctual to all classes.

Further, all GATE students are expected to attend the first eight (8) weeks of classes without any incidence of absenteeism. Should they fail to attend these first eight (8) weeks, the Government of Trinidad and Tobago will not fund them.

5.2 Students enrolled in all other programmes

All students enrolled in all other programmes are expected to have at least 80% attendance and greater than 80% punctuality.

5.3 Action to be taken by Staff

In cases where these standards are not consistently being met by a particular student, the lecturer is required to report the matter to Quality Assurance.

(i) *When a student is absent for one (1) class*

In the event that a student is discovered to be absent for any one class and has not contacted PIMBS Ltd. to report their intended absence, it is the responsibility of the lecturer to ensure that the student is contacted via Quality Assurance to find out the reason for absence. Upon contacting the student, a request will be made of that the student to send in a response whether verbally or in writing (via hand or e mail) to explain absence.

(ii) *When a student is absent for four (4) consecutive classes*

In the event that a student has been absent from class consistently for four (4) consecutive classes, an e mail will be sent requesting a written response to the reason of absence to be sent in to PIMBS Ltd. via e mail.

Students who are in danger of falling below the expected 80% attendance and punctuality rate will be given every possible support from the Course Coordinator and/or their Student Advisor.

6.0 Contribution of PIMBS Ltd. to the student's success

PIMBS Ltd. is committed to contributing to the improvement of students' attendance in the following ways, by pledging to support the student with a view towards increasing the student's motivation and retention in the programme.

PIMBS Ltd. responsibility is to:

- a) Quality assure the effective delivery of well-structured and managed course programmes to engage students and motivate them to attend.
- b) Ensure that a robust system is in place for monitoring attendance and punctuality – including offering the facility to write letters to the students' job for time off to attend lectures.
- c) Ensure that PIMBS Ltd. staff following up absences promptly and firmly.
- d) Make sure “at risk” students are supported as soon as warning signs appear. This may include but is not limited to committing the student to any of the following with the student's consent: counselling; commitment of student to time management course; enrolment in additional sessions of the course to address aspects of the curriculum the student missed.
- e) Utilise a “whole Institute” approach to monitoring and challenging attendance with all elements of the programme of study.

P1024 - Policy on Alcohol Use

1.0 Policy on Alcohol Use for Students

PIMBS Ltd. maintains that all individuals are responsible for adhering to the laws of Trinidad and Tobago and will enforce and be guided by the relevant recommendations related to alcohol use emanating from the Consumer Affairs Division and the Occupational Safety and Health Administration (OSHA).

With respect to alcohol, no member of the student body or staff (if present as a student) shall enter PIMBS Ltd. premises or activities while under the influence of alcohol. Failure to comply with such regulations will result in disciplinary action taken against violators, including imposing fines, suspension or expulsion from PIMBS Ltd, immediate cancellation of events and/or legal action (where deemed necessary).

PIMBS Ltd. will use a Three Strike System.

PART 1: \$1,000 fine and a warning letter

In the event that a student is found misusing alcohol and is on the premises of PIMBS Ltd. or is attending an activity of PIMBS Ltd., there will be the imposition of a fine and a recommendation for assessment.

In situations where there is reasonable evidence of alcohol misuse, disorderly or disruptive behaviour, or a history of misuse and/or disorderly behaviour, the offending person will be sent to counselling.

PART 2: SUSPENSION for ONE SEMESTER/TERM

Upon the second incidence of a student being found misusing alcohol, suspension from classes for 1 semester/term and will be barred from submitting assignments or writing exams. If the offence happened towards the end of the term (that is, within the last three (3) weeks of term), the suspension will take effect in the next semester/term. If the offence happens such that the offender is in the last semester/term of study, then a \$2,000 fine will be imposed. Graduation documents will only be given after all fees and fines have been paid in full.

PART 3: PERMANENT EXPULSION

In the unfortunate event that the student is found violating the policy for the third time, the student will be expelled from PIMBS Ltd. with immediate effect.

VIOLATION OF ALCHOL POLICY BY GUESTS

Members of PIMBS Ltd. are to take all reasonable steps to ensure that guests are not in violation of the policy.

2.0 Policy on Alcohol Use for Staff

1. Any employee who reports to work, and is on PIMBS Ltd.'s premises for the purpose of working for PIMBS Ltd., or is reporting to work and has used or is under the influence of alcohol is in violation of this Policy.
2. The use, sale, possession, distribution or promotion of alcohol while on PIMBS Ltd.'s premises is strictly prohibited and is a violation of this Policy.
3. Any employee who is charged with an offence involving alcohol may be subject to testing and disciplinary action taken and may be subject to legal action.

P1025- Policy on Abusive Behaviour

The Professional Institute of Marketing and Business Studies Ltd. maintains zero tolerance towards abusive behaviour. It is acknowledged that some persons would not know that the manner in which they are behaving towards others is being perceived as abusive. In such cases, counselling will be given in the first instance. However, where the incidence of abuse is obvious, there is zero tolerance. This is further defined herein.

DEFINITION

Abuse is defined as “the wilful, conscious desire to hurt, threaten, upset or frighten anyone.”

This, along with the policy against discrimination and alcohol use, shall be taken in tandem as one may lead to the other.

Abusive behaviour towards any member of PIMBS Ltd. community includes (but is not limited to) the following:

SECTION 1: ZERO TOLERANCE OFFENCES

Fighting

Physical violence

Aggression

Damaging Property

Swearing

Sexual harassment

Threats/Extortion

Any of the Summary Offences defined by the laws of Trinidad and Tobago

SECTION 2: OFFENCES (warranting Counselling) FOR FIRST TIME ONLY

Gender abuse

Racial abuse

Name calling (on or off line)

Destroying work

Preventing others from working

Exploiting physical weakness or disability

The principal aim is to foster an atmosphere in which abusive behaviour is not tolerated and is seen to be against the norm, inappropriate and simply wrong.

RESPONSIBILITIES OF STUDENTS:

All students are expected to:

- (i) Report any instance of abuse
- (ii) Bring to the attention of any staff member any instance of abuse
- (iii) Offer support to the victims of abuse (if it does not mean endangering their own personal safety)

RESPONSIBILITY OF STAFF:

All staff members are expected to:

- (i) Recognize instances of abuse
- (ii) Report such instances
- (iii) Support the implementation of the PIMBS Ltd. Policy against Abusive Behaviour
- (iv) Offer support to victims of abuse

PROCEDURE FOR HANDLING OF REPORTS OF ABUSE

- (i) Once an incident has been reported it must be documented in writing.
This document will be taken as a confidential document.

INCIDENT REPORT

Name of Person Reporting the Incident: _____

Name of Party (IES) Involved: _____

Names of Alleged Abuser(s): _____

Name of Alleged Party Receiving Abuse: _____

Details of Incident: _____

(Use additional paper if necessary)

Date of incident:

Time of incident:

Location of incident:

Name of Staff Receiving Report: _____

- (ii) The INCIDENT REPORT will be sent to the QUALITY ASSURANCE DEPARTMENT (through any one of its officers) for investigation.
- (iii) The investigation will:
 - (i) Document all witness statements
 - (ii) Deal with instances quickly, fairly and in as positive a manner as possible
 - (iii) Provide anonymity for the victim (where possible)
 - (iv) Contact the Police and the Ministry of Education if it is deemed appropriate to do so.

PENALTY

For any physical abuse, violence of Section 1 offences – immediate expulsion from the Institute will be enacted.

A Sanction for verbal or written abuse (on or offline) for any Section 2 offences (for the first time only) and one or more of the following will be imposed: (i) Warning and counselling

(ii) Withdrawal of privileges

(iii) Depending upon the severity –

A Police report will be lodged.

PROCEDURE FOR HANDLING OF REPORT OF ABUSE AGAINST A STAFF MEMBER WHO IS A VIOLATOR

The same procedure as above applies, but in addition, the warning system, instituted through the Employee Handbook outlining misconduct will apply.

P1026 DISTANCE LEARNING POLICY

1.0 This policy is written to define the operations of the Distance Learning arm of the Professional Institute of Marketing and Business Studies Ltd.

2.0 DEFINITION – Distance learning, is defined by the operation, as the dissemination of learning materials and the mechanisms for a course (or courses) beyond the classroom. This policy is guided by the “Guiding Principles for Distance Learning in a Learning Society” (American Council on Education, 1996)

PIMBS Ltd. believes that Distance learning should improve and increase students’ accessibility to education opportunities, by allowing for more flexible scheduling of class time or location.

The following definitions pertain to this policy:¹

1. Distance learning. Distance learning is a system and a process that connects learners with distributed learning resources. While distance learning takes a wide variety of forms, all distance learning is characterized by:
 1. Separation of place and/or time between instructor and learner, among learners, and/or between learners and learning processes.
 2. Interaction between the learner and the instructor, among learners, and/or between learners and learning resources conducted through one or more media; use of electronic media is not necessarily required.
2. Provider. The provider is the organization or entity that creates and facilitates the learning opportunity. Providers may include colleges and universities, schools, businesses and industries, professional organizations, labor unions, government agencies, the military, and other public and private organizations.

¹Definitions for distance learning and provider are taken wholly or in part from: American Council on Education, *Guiding Principles for Distance Learning in a Learning Society*, Washington, D.C., 1996

3. Physical presence. PIMBS Ltd. has a physical presence at #1 Harris Street, Curepe. This physical area is the centre of all activities associated with distance learning. However, persons prescribing to distance learning courses MUST contact PIMBS Ltd. via e mail or other electronic method pre-agreed upon, so that a permanent record of correspondence and transactions will be kept.

If materials are not generated from PIMBS Ltd. premises, they must be first approved by PIMBS Ltd. before they are disseminated to the students.

1.0 MODES OF DISTANCE LEARNING

There are four (4) distance learning modes available. A student must prescribe only to ONE of these:

1. Distance learning but attending classes live – you will be given a platform to choose from e.g. Skype and the student will be able to give and receive live feedback.
2. Distance learning but not attending classes live. This is available to persons who cannot make the class time, however, will be able to review the live class on their own time. In this case, any questions a student might have – the student has to send it in via e mail and it will be answered by either the tutor or PIMBS Ltd. Marketing team within 24-48 hours.
3. Distance learning but not attending classes live. This is available to persons as above however, a recording of the class will not be sent. The mode is completely via electronic mail and all assignments, questions and answers will be sent by this mode.
4. Blended learning – this combines face to face and distance learning modes of #1 and 2. It offers the ultimate amount of flexibility.

4.0 FEES

Each mode of distance learning attracts a separate fee schedule.

1.0 EXECUTION OF THE PROCESS OF DISTANCE LEARNING

0. PIMBS Ltd. shall maintain a file on all distance learning students who will sign up for any foreign body programmes and foreign examinations themselves.

1. PIMBS Ltd. will be sent an induction powerpoint or video
2. PIMBS Ltd. will use the mode selected (or implied) by the student to discuss the expectations of the course.
3. PIMBS Ltd. will send materials only (or video in the case where that option has been chosen) to students for the course and ask the student to develop written work and send it in to PIMBS Ltd. by a specific date.

4. PIMBS Ltd. shall conduct the necessary oversight to guarantee that the quality of the distance learning offerings is meeting with normal academic standards. This includes, but is not limited to: monitoring written work from the students, giving feedback to the students, offering additional material via scan, you tube or other forums to enhance student understanding and experience.

5. Students are expected and have the responsibility to:
 - (i) Conform with internal deadlines set by PIMBS Ltd.
 - (ii) Conform with external deadlines set by the foreign bodies
 - (iii) Conform with PIMBS Ltd. Rules and Regulations
 - (iv) Conform with the relevant foreign body rules and regulations/policies
 - (v) Pay all requisite fees to both local and foreign bodies
 - (vi) Abide by Collusion and Plagiarism guidelines.

P1027 HUMAN RESOURCE POLICY

1.0 Introduction

This policy is applied to the Position Management of the Professional Institute of Marketing and Business Studies Ltd.

2.0 Position Management

2.1 Definition

Position management is the continuous and systematic process of assuring that the positions within the organization are structured efficiently and economically. It is the series of steps that Managers and Officers go through to determine the type of organizational structure that is required to fulfil the function(s) assigned to a particular unit, how many positions are needed, and how positions should be designed.

2.2 Policy and Principles

The Professional Institute of Marketing and Business Studies Ltd. will establish and maintain only those positions necessary to accomplish programme delivery in the most effective, efficient, and economical manner. In line with this policy, managers will observe the following position management principles in determining organizational structure, developing staffing plans, and assigning duties to individual positions:

C Establish the fewest number of positions essential to accomplish the functions assigned.

C Structure positions clearly and discretely to avoid overlapping of duties, unnecessary positions, or fragmentation of work processes.

C Abolish vacant positions if the duties can be redistributed or eliminated.

C Optimize supervisor/employee ratios.

C Limit the number of deputy or assistant positions, both line and staff.

C Minimize the number of organizational levels, with emphasis on decentralization and delegation to the lowest possible working level.

C Hire at the “entry” or “technician” level or “part time” staff whenever possible to ensure a balance between employees who perform the full performance level duties of the unit and the development of employees who perform more routine and lower level tasks.

C Establish positions in such a way as to encourage career development and allow cross-training, consistent with the need to recruit and retain a diversified work force.

2.3 Implementation

While the Professional Institute of Marketing and Business Studies Ltd. has always outsourced its Human Resources Division (HRD), it recognizes that the Human Resource plays an essential supporting role in ensuring sound position management. HRD and Managers within PIMBS Ltd. supervisors will work together to assure that:

C Positions and organizations are structured in accordance with sound position management principles.

C Each employee has a current and properly classified position description which adequately describes the work assigned.

3.0 Position Classification

3.1 Definition

Position classification is the systematic process of assigning the proper titles, occupational series codes, and grades to positions. The Professional Institute of Marketing and Business Studies Ltd. has two main classification systems: The Equity Schedule (ES) classification and basic pay system, and the Wage System (WS) for all positions within the company.

3.2 Equity Schedule (GS) System

The purpose of the classification system is to ensure that equal pay be provided for substantially equal work and that work be classified based on its difficulty, responsibility, and qualification requirements. The laws of Trinidad and Tobago do not define a classification system or a body of rules for treatment of classification system.

3.3 Wage System (WS)

The WS is provides for an equitable system for fixing and adjusting the rates of pay for prevailing rate employees of the Professional Institute of Marketing and Business Studies Ltd. The minimum wage is applied as prescribed by law for manual workers without qualification, however a tiered system is applied to a combination of experience and qualifications to lecturers and support staff. This wage system has been developed to insure equitable coordination of wage-fixing practices amongst levels and department within PIMBS Ltd.

4.0 Position Descriptions or Job Descriptions

A position description (PD) (a.k.a. “job description” when applied to WS positions) is a statement of the major duties and responsibilities, knowledge required to perform the work and supervisory relationships of a given position. It briefly outlines what an employee in a specific job is expected to do and how the work is supervised. If the position is supervisory, the PD will also address the type and scope of supervision exercised. Position descriptions are the basis for performance standards.

4.1 Who Needs a PD and Who Does Not

Virtually every position at the Professional Institute of Marketing and Business Studies Ltd. requires a Position Description or a Job Description. Among the exceptions are:

- C Janitors and Cleaners
- C Security Officers (contracted from other firms)
- C Volunteers.
- C Private sector temporaries
- C Experts and Consultants

4.2 When to Write the PD

A PD **must** be written and approved and the work classified **before** the position can be filled. The only exception to this rule involves details. Employees may be ‘detailed’ to a position without a PD, but they cannot be formally assigned to the position until the duties have been described and classified.

4.3 Who Should Write the PD

Since the Quality Assurance Department is responsible for assigning the work and know what their needs and expectations are, they should play the primary role in writing PDs for the positions they supervise. The Managing Director however must take the lead and provide the facts.

If the PD being prepared is a re-description of an existing, currently filled position, the incumbent in that position should also become involved. The incumbent may better understand the duties of a position since he/she is actually performing the work. Employee input is a valuable resource that shall not be overlooked.

The writing of a PD is, therefore, a cooperative effort with management, the personnel management specialist, and, in some cases, the employee contributing to the final product.

4.4 Content

Duties. The PD covers only **major duties**; it does not describe everything an employee does or might conceivably be asked to do, nor should it attempt to do so. A PD must outline all the major duties and the tasks that occupy the most time (usually 25 per cent or more) are the most difficult or challenging, or draw upon particular skills, and depict the supervisory relationship.

4.5 Leadership Competency Model for Selection and Promotion

Within a PD there may be language used in the duty statement that will be appropriate for Selection and Promotion of individuals based on the style leadership style that is exhibited.

The following is the language currently approved for duty statements:

- **GOOD COMMUNICATION SKILLS** -The incumbent is responsible for expressing ideas and facts to individuals or groups effectively. This also includes listening to others, facilitating an open exchange of ideas
- **GOOD TEAM BUILDING SKILLS** – The incumbent can pull together the right people to build a team. The incumbent is responsible for motivating and guiding employees, ensuring staff is appropriately utilized and developed, and adapting leadership style to various situations.
- **GOOD LEADERSHIP SKILLS** - Provides technical and administrative supervision. Is responsible for making selections for positions, assigning duties, reviewing work, approving/disapproving leave, and evaluating performance. Assures equal opportunity is extended to all employees supervised and all candidates for employment without regard to race, colour, religion, sex, national origin, age, or non-disqualifying handicapping condition. Assures affirmative implementation of Equal Employment Opportunity plans of action which includes full consideration of eligible minority group members and women in filling vacant positions.

- The Company is committed to providing career counselling and orientation; enhancing career opportunities through training and development, job redesign, and/or using similar

techniques; and ensuring full consideration of these employees in recommending promotions, awards, and other forms of special recognition.

4.6 Qualifications. The PD should reflect the basic qualifications needed to perform the work and they should be obvious from its content. If for some reason those specialized requirements are **not** readily apparent, they should then be specifically noted (e.g., foreign language requirement).

4.7 Conditions of Employment. If the incumbent in a position must meet certain licensing requirements (e.g., commercial driver's license) or undergo any type of medical screening (e.g., drug testing or vaccination requirements or screening for dyslexia), those special demands must be addressed in the PD.

4.8 Formats

The intent of the PD is to communicate information; all other concerns, including formatting, are secondary. The main format that is used for the design of the PD is the Narrative Format however the Shortened Narrative Format is used at PIMBS Ltd.

Narrative Format. A narrative PD “narrates the story” of a position, using complete sentences and paragraphs. The narrative style focuses more on the position as a whole. A shortened narrative format however briefly states the most important features of the PD, and normally includes the following sections:

Title of Position: States the title of the positions

Department: States which Department one belongs to

Reports to: States who is the immediate superior

Overall Responsibility: This is a narrative that describes of the Nature of the Assignment and Level of Responsibility

Key Areas of Responsibility: Outlines the important, regular, and recurring duties and responsibilities assigned to the position. It continues to describe how the work is assigned, the type of supervision and guidance received, and the kind of review to which the work is subject either in progress or upon completion.

Consults with: This refers to which positions this incumbent would liaise with – for example The Information Technology Officer would liaise with the Managing Director and the Marketing Assistant II.

Terms of employment: This indicates the length of the contract

Qualifications: Indicates the types of qualifications required to successfully carry out the job.

Modification of Existing PDs

Major Changes. Whenever a significant change takes place in the major duties of a position or in the way those duties are supervised, a new PD must be drafted and evaluated. This means the addition or deletion of a major duty or a change in level of supervisory controls over the work.

Any change in the position that will affect the title, series, or grade requires a new PD.

Minor Changes. Changes in a PD that will **not** affect the title, series, or grade can usually be accommodated through minor editing. If the modification only involves a word or two, the change may easily be handled through a “pen and ink” correction. If the change involves several changes to phrases or paragraphs, then the modifications may be typed on a separate page and attached to the PD as an amendment.

Statement of Difference. Statement of difference (SOD) is a succinct description of the differences between the duties, responsibilities, or working conditions set forth in a currently established position description, and those of the position being described. When a position being described is substantially similar to an existing position in the same organizational unit and classified with the same series and title, it may not be necessary to draft an entirely new PD. In many cases, the already classified and approved PD may be used along with a brief statement describing how the two positions differ.

A SOD is particularly useful when management decides to fill a position at a grade level below the full performance level. In such a case, the PD for the new position would consist of the classified and approved PD for the full performance level work plus a statement addressing the modified expectations associated with the lower grade (e.g., at the lower grade level, supervision would normally be increased while knowledge required to perform the work would be decreased).

A SOD may **not** be used to describe higher level duties (i.e., the grade of the already existing PD must be at or above the grade of the position being described), nor should it be used to describe supervisory or leadership positions.

While use of the statement of difference is not mandatory, it does promote efficiency. It is, therefore, an option that is encouraged.

Certifying PD Accuracy

The PD is certified as being accurate by being signed off by the Managing Director.

5.0 Classification Audits

5.1 General Definition

A classification audit is a review of the duties and responsibilities comprising a position. In most cases, an audit is a conversation or a series of conversations about the position. It is a fact finding mission, with the reviewer (usually the Quality Assurance Manager) asking most of the questions and the incumbent and/or the incumbent's immediate superior/supervisor providing most of the answers.

Audit requests are typically processed within 60 days of receipt of all documents needed prior to the audit.

5.2 Types of Classification Audits

Paper Review. Whenever the Quality Assurance Manager reviews a PD and check the duties described against an appropriate standard, they are technically performing an audit. However, in actual practice, this type of activity is referred to as a "paper review." When the term "audit" is used, it refers to either a **desk audit** or a **supervisory audit**.

Desk Audit. The most common type of audit is the desk audit, which is a personal interview of the incumbent by the Quality Assurance Manager who has been assigned to review the work. This interview frequently takes place in the incumbent's work space, although it could most certainly occur elsewhere or be conducted over the phone.

Supervisory Audit. Whenever an established, unfilled position is being reviewed, the main source of information about that position must be the position's immediate superior or supervisor. The conversations which take place between the supervisor and the Quality Assurance Manager specialist regarding the work of the position constitute the supervisory audit.

Supervisory audits, however, are not limited to vacant positions. Since supervisors control the work, their viewpoint is invaluable to the classification process. It is wise, therefore, to conduct both a supervisory audit and a desk audit whenever a position is being reviewed. This will ensure that a balanced picture is presented.

5.3 Participants

As noted earlier, the Quality Assurance Manager and the incumbent are the primary players in the audit process, although the incumbent's supervisor and/or other subject matter experts might also be interviewed. Interviewing the supervisor is a fairly common and widely recommended practice; interviewing subject matter experts is usually not necessary, except in the case of highly technical or scientific occupations.

5.4 Required Audits

An audit will be necessary **only** when:

- C An upgrade of a position has been requested that would raise the grade above the established full performance level for the position.
- C The position is a "mixed series" position, i.e. the position is composed of work in two or more series.
- C The position is in an occupation for which no standard has been published.
- C The position is being reclassified in a new series.
- C The audit is part of a classification review project in which a specific set of positions is examined to ensure that the PDs are accurate and that the classification standards have been applied consistently across the organization.
- C The audit is part of a human resources management evaluation, which is the periodic inspection of an organizational unit conducted to determine the overall effectiveness of the unit's human resources management program.
- C A new classification standard has been issued, and a directive has been issued that all positions affected should be evaluated.
- C The incumbent in the position or the incumbent's immediate superior or supervisor specifically requests an audit.

5.6 Requesting an Audit

An employee or the employee's immediate superior or supervisor may request an audit at any time, provided significant changes have taken place within the position to merit such a review.

Ideally, the audit process will begin with a series of discussions. An employee may initiate this process by contacting the Quality Assurance Manager for an assessment of the case and advice on how to proceed. But, more importantly the employee should first sit down with the immediate superior or supervisor. Quite frequently problems associated with duty assignments or PDs can be resolved informally, pre-empting the need for a formal audit.

But even if such swift resolution does not take place, early involvement on the part of the supervisor is still necessary. An employee-generated request for an audit must be forwarded via the supervisor, and supervisory approval will be needed should the PD require updating or other modification prior to review.

5.7 Documents Needed Prior to the Audit

The following three documents will be needed before an audit can take place:

1. Up-to-date and approved PD describing the duties of the position
2. Written request for the duties to be reviewed.
3. Brief statement from either the incumbent or the supervisor addressed to the Quality Assurance Manager describing the changes that have occurred within the position, thereby justifying the need for an audit. (Note: Submission of this statement may be waived at the discretion of the Quality Assurance Manager.)

5.8 Conducting the Audit

Most desk and supervisory audits are conducted through face-to-face meetings or by telephone, with the Quality Assurance Manager interviewing the incumbent and/or the incumbent's immediate superior or supervisor. The Quality Assurance Manager will review the PD and ask questions related to the duties and responsibilities assigned.

Prior to the interview, the Quality Assurance Manager may provide the incumbent and/or the supervisor with a list of position specific questions so they will know what to expect and can organize their thoughts prior to the actual interview. A written response is not required.

Prior to or during the course of the interview, the incumbent may be asked to provide a small selection of work samples to illustrate and clarify the work being done. These requests, however, should be **kept to a minimum**, and every effort should be made to avoid making the process overly burdensome.

Since the absence of face-to-face contact does make telephone interviews somewhat more challenging, it is especially important to carefully document what was said and heard during the call. As soon as possible after hanging up the phone, the Quality Assurance Manager conducting the audit should prepare their audit notes for the file summarizing the facts that were gathered.

6. Evaluating the Position

6.1 The Evaluation Process

Evaluation is essentially a matter of comparison. The individual classifying the job (usually the Quality Assurance Manager) looks at the duties and responsibilities assigned to the position and how those duties are exercised and compares that information with the various types of work. This work can be done in conjunction with a Job or Position Evaluation Specialist or HR consultant (which is out sourced) so that it can determine which occupation the position in question fits and what grade (Manager, Officer, Assistant etc.) and title would be most appropriate.

6.2 Basic Principles of Evaluation

The results of the evaluation process are sometimes poorly understood, not because the process is especially complex, but because certain basic principles are either unknown or underappreciated.

It is important that both management and employees acknowledge and understand the following concepts as they relate (or fail to relate) to classification:

- **Range of Duties.** Each grade/ level represents a **range** of duties and responsibilities. To some extent, the work of a position may expand and even become more difficult without affecting the grade. Several positions in a given organization may, for example, look identical on paper, sharing the same

series and grade, but there may, in fact, be some variation in how the work is performed. One of the positions might be in the lower part of the grade range, another in the middle, and the third in the upper part of the range. To a limited degree, the standard(s) used to evaluate the work will accommodate shades of difference from one position to another.

- **Amount of Work.** Quantity alone does not count. An employee may be doing more work, but unless those additional duties are more difficult and more complex than those performed previously, the grade of the position will not be affected. Volume is not a factor: Performing “more of the same” at the same level of complexity, even if it is a lot more of the same, will not raise the grade.
- **Performance.** A position is classified, **not** the employee in the position. Classification actions neither measure nor reward performance. An employee’s performance in a job has no direct relationship with the classification of that job. Classification measures **what** an employee is asked to do, **not** how well the employee does it.

Admittedly, an exceptional employee may (by virtue of performance) draw more complex duties into the assignment area (see below under **Accretion of Duties**). On the other hand, a poor performer may cause the job to deteriorate as duties normally resting with the position are reassigned elsewhere. Either of these situations might result in an altered grade, but in neither case was performance alone an issue. Performance changed the job, and the change in the job changed the classification. Superior or inferior performance in and of itself would not have done so.

Since the upgrade of a position does not recognize performance, classification must not be viewed as part of the awards program. Unfortunately, the fact that promotions are happy occasions and that money is involved invariably clouds this issue.

- **Length of Service.** An employee’s length of service in a position has no bearing on its classification. Requesting a promotion is not an acceptable way to thank an employee for long years of faithful service.
- **Other Positions.** Positions are compared against standards, not against other positions. The classification of what appears to be a similar position in another organization is essentially irrelevant to the classification at hand.
- **Automation.** The use of computers may sometimes increase a position’s productivity, but increased productivity alone will not affect the grade. If the basic work processes remain the same, the grade will remain the same. When the nature of the work does change as a result of new technology, the grade is as likely to decrease as it is to increase. Automation may simplify the work, thereby lowering the grade. Or it may allow the work to expand, with the employee tackling more complicated assignments that, prior to automation, would not even have been attempted. In the latter case a higher grade could, in fact, be contemplated.
- **Accretion of Duties.** Any position may evolve over time. When new **higher level** duties are **permanently** added to a position for whatever reason and the additional duties constitute a substantial portion of the employee’s overall

workload, the classification of the job must be adjusted to reflect this change. The action in these instances would be a non-competitive promotion, based on accretion of duties.

- **Impact of the Person on the Job.** When a significant number of new **higher level** duties are added to a position due to the **incumbent's special skills or abilities**, the classification of the position must be adjusted to reflect this change. In this instance, the action would be a non-competitive promotion, based on the impact of the person on the job. The PD must be noted in the remarks section "Incumbency Only Allocation." Admittedly, it is sometimes hard to distinguish an "impact" action from an "accretion" action.

The difference becomes important, however, when the position is ultimately vacated. At that point, a position that was upgraded based on employee impact must be reassessed and re-evaluated and will, in most cases, revert to its previous classification. In contrast, a position upgraded through accretion of duties could possibly retain the higher grade, depending on the circumstances of the case.

6.3 Handling Controversial Actions

Special care must be taken with classification actions that are unusually complex, controversial, or otherwise precedent-setting. Communication and cooperation are key.

6.4 Need for Consultation

The fundamental classification process is the same for every position regardless of outside considerations or long range impact. The Quality Assurance Manager performs a basic fact finding exercise for a well-established position and evaluates the position using the appropriate standard(s). When reviewing an unusually complex, controversial, or otherwise precedent-setting position, the Quality Assurance Manager will refer the matter to the Managing Director who will then engage the services of an HR consultant to discuss relevant issues. When comfortable with the classification decision, **and prior to certifying the position**, the personnel management specialist will submit a copy of the position description and evaluation statement or classifier's note to the HR consultant for review.

6.5 Final Review and Approval

The Job or Position Specialist or HR consultant will review the classification decisions, providing concurrence or non-concurrence, and, if appropriate, will discuss the decision and its ramifications with the Managing Director of PIMBS Ltd. The Managing Director will ensure that all interested parties are apprised of the decision and will keep it on file along with other significant classification decisions.

7. Issuing the Classification Decision

7.1 Initial Notification

It is important that the first news of a classification decision be communicated personally by phone or in a face-to-face meeting to the immediate superior of the position. Speaking personally to the most interested parties will give them an opportunity to ask questions and, if the news is not good, the personal touch can sometimes be more effective.

7.2 Formal Publication of the Decision

The final classification decision may be published in an Evaluation Statement or a Classifier's Note:

Evaluation Statement. An evaluation statement is a written narrative explaining why the position was placed in a specific series and why it was assessed at a certain grade. The statement will normally include some structured comparison matching the position against the criteria provided in the standard(s).

Classifier's Note. A classifier's note is very similar to an evaluation statement, but it is less comprehensive and therefore shorter and less formal. While brief (usually about a page), the note will contain enough information to form the basis for a full evaluation statement, if the writing of such a statement should ever become necessary (e.g., in the event of an appeal).

7.3 Actions Requiring Written Explanations

Every classification action does not need to be explained in writing. A formal comprehensive statement **or** a classifier's note will be prepared **only** when:

- * The position is classified above the current established full performance level.
- * The position is classified to an occupational series where no grade level criteria exist
- * The position is "mixed" either in terms of series or grade (i.e., the position includes duties associated with two or more series and/or two or more different grade levels).
- * The classification action may establish a precedent for other like positions
- * The classification appears likely to result in a classification appeal, (e.g. when a request for promotion is denied).

7.4 Content and Format of Formal Evaluation Statements

The evaluation statement should be written clearly and concisely. The information may be recorded on a pre-printed form designed for that purpose or on plain bond paper, the focus being on **content**, not on format.

The report should concentrate on those aspects of the job that were crucial in determining the final grade. Since all factors contained in a given standard are not necessarily equal in impact, it is seldom necessary to discuss them all. Factors, for example, that received maximum credit during a previous evaluation and were not changed as a result of the most recent review need not be addressed.

Written statements answer questions about a classification decision, either now or in the future, and should be discussed in sufficient detail to provide a reasonable response. An evaluation statement should demonstrate the basic logic that governed the decision and briefly, but clearly, specify which aspects of the job were important to the classification (and, if pertinent, which were not).

7.5 Access to Evaluation Documents

Evaluation statements, classifier's notes, and PDs are private records of PIMBS Ltd. and therefore not releasable to other employees or the general public.

7.6 Responding to Classification Decisions

7.6.1 Decision to Upgrade. Once a position has been reviewed and found to merit a higher grade, the action is usually completed as soon as possible. Should management disagree with the decision, two alternatives are available: management may either

- (1) appeal to the Board of Directors or
- (2) allow the action to go through or

(3) they may remove the higher level duties from the position thereby maintaining the lower grade as mandated by the Board .

One option that is **not** available is a continuation of the status quo. Either the position is upgraded or the duties are altered; there is no other choice.

With retained grade, the position is treated for pay purposes as if the downgrade had not occurred. The entitlement to retained grade expires after 2 years, at which time retained pay begins. Under retained pay, an employee receives smaller salary increases than would otherwise have been the case. Retained pay ends when the salary of the downgraded employee equals the top step of the grade to which the employee was downgraded.

NOTE: According to section 4.2 an employee may be ‘detailed’ to a position. This may be called ‘acting’ and therefore this brings about two circumstances:

- (i) Detailing in a position that has not as yet been created.
- (ii) Detailing or Acting in a position that has been created.

Decision to Downgrade. Classification reviews seldom conclude with a recommendation to downgrade a position, particularly if the position is encumbered. However, should this occur, the action will not go into effect until the incumbent has been given the opportunity to appeal. If the downgrade action has been processed, the employee may be entitled to retained grade. An employee whose position has been downgraded must receive a written notification explaining the action and outlining the employee’s rights to appeal.

Decision to Retain the Current Grade. Though the duties of positions may change, or the manner in which the work is performed has changed, the changes may not affect the title or grade-level of positions. In such cases, the classification review can conclude with a recommendation to retain the current grade. When this occurs and either management or the employee is dissatisfied with the explanation provided by HRD, the decision may be appealed.

8. Reconsideration

An employee may request a review of the title or grade of their position through the Quality Assurance Manager. A reconsideration is a paper review of the classification decision made by the employee’s an external human resource consultant appointed by the Board and may involve a discussion with the employee and the immediate superior. The request should not, however, be initiated until the questions and issues surrounding the case have been discussed with the Quality Assurance Manager and/or the employee’s immediate superior. These discussions will provide an opportunity to resolve problems based on confusion, misunderstanding, or lack of information. A decision by the Board will be made within 60 calendar days from the date of receipt of the request and communicated to the affected employee. If the Board fails to issue a decision within the allotted time, the employee may seek redressed submit a classification appeal to the Ministry of Labour.

9. Classification Appeals

9.1 What May Be Appealed

The following aspects of a position may be appealed:

C Grade level of the position.

C Official title (but not the organizational title) of the position, when the applicable classification standard has not prescribed the title.

C Position's inclusion in or exclusion from the GS or the WS.

9.2 What May Not Be Appealed

The following issues are **not** appealable, but they **may be grievable** under administrative grievance procedures:

C Accuracy of the PD, including the inclusion or exclusion of a major duty.

C Assignment or detail outside the scope of the normally performed duties outlined in the PD.

C Accuracy, consistency, or use of any supplemental classification guides issued by the Department.

C Title of the position that has established as the official position title.

For information regarding grievance procedures, see Grievance procedure for employees.

9.3 What May Be Neither Appealed Nor Grievable

Recourse is not offered in every case. The following classification issues are neither appealable nor grievable:

C Classification, grade level, or pay system of a position to which an employee is not officially assigned by an official personnel action (e.g., an employee cannot appeal the classification of someone else's position).

C Classification, grade level, or pay system of a position to which an employee is temporarily promoted or detailed.

C Proposed classification of a position before the classification action actually takes place.

C Adequacy of the classification criteria

C Classification of a position based on comparisons with other positions (regardless of where those positions are located).

C Classification appeal decision issued when no changes have occurred in either the major duties of the position or the applicable classification standard(s).

C Rate of pay or the propriety of a wage schedule rate for WS employees.

9.4 Who May File an Appeal

Any employee may file a classification appeal either personally or through a designated representative.

An appeal should not be initiated until the questions and issues surrounding the case have been discussed with the Quality Assurance Manager and/or the employee's immediate superior.

9.5 Representation

An employee may designate an individual to assist in preparing and presenting the appeal. In performing these duties, the representative will be free from restraint, interference, coercion, or reprisal.

The employee has one (1) calendar month in which to lodge an appeal.

If the appellant seeks the assistance of an external representative, the representative may **not** be present during a classification audit nor may the representative participate in any other fact finding activities unless the office conducting the review specifically requests such participation.

9.6 Where to File an Appeal

The employee can file an appeal to the office of Quality Assurance.

9.6.1 When to File an Appeal

The appeal may be filed no later than 15 calendar days and not more than 30 calendar days following the effective date of the reclassification action.

9.6.2 Information Required to File an Appeal

Every appeal case must include the following information:

C Appellant's name, e mail and cell phone number

C Organizational location of the position (department, section).

C Current title, occupational series, pay plan, and grade of the position being appealed

Requested title, occupational series, pay plan, and grade.

C Copy of the official PD with a cover sheet or attached statement verifying its accuracy (if the appellant believes the PD is inaccurate, an alternative PD, an outline of alleged discrepancies, and a description of what has been done to correct those discrepancies should also be provided).

C Copy of the most recent classification statement evaluating the position.

C Statement identifying what is wrong with the current classification and supporting the requested classification; reference should be made to the applicable classification standards.

C Name, business address, and phone number of the appellant's representative (if applicable).

9.6.3 Cancelling an Appeal

An appeal will be cancelled if:

C The appellant requests, in writing, that the appeal be cancelled.

C The appellant fails to provide the information needed to support the case.

C The appellant vacates the position being appealed, unless special circumstances (e.g. appellant may be entitled to back pay) dictate that the appeal go forward.

10. Summary of Responsibilities

10.1 Managing Director

C Delegate classification authority, including authority for appeals, to Human Resource Consultant and/or the Board of Directors.

C Exercise classification authority in specific cases, in accordance with policy or in response to specific requests from the Board, managers or employees.

C Reviews classification decisions on cases referred to Human Resource Consultant for reconsideration within 60 calendar days following receipt of the reconsideration request.

C Issues a decision on classification appeals; decision must be issued within 60 calendar days following receipt of all necessary documentation.

C Coordinates position management and/or position classification review projects as needed or as requested by the Board.

10.2 Immediate Superior in the Department

C Apply sound position management principles in establishing positions and in assigning duties.

C Develop and, whenever major changes occur, revise in brief the position descriptions (PDs) for all positions supervised and hand these over to the Quality Assurance Manager.

C Certify the accuracy of PDs by signing Description Cover Sheet.

C Notify the Quality Assurance Manager whenever changes occur in an employee's position.

C Request classification audits for positions in response to changes in assigned duties or in response to employee requests.

C Forward employee-generated requests for classification audits to Quality Assurance Manager for resolution.

10.3 Quality Assurance Manager

C Review controversial or precedent-setting classification decisions and share information whenever such cases occur.

C Formulates classification policy and provides classification advice and policy assistance to managers and employees.

C Maintains official files of appeal cases filed by employees.

10.4 Human Resource Consultants

- Provide advice and assistance to the Board and Managing Director and Quality Assurance Manager.
- Assist the Quality Assurance Manager in developing and, as necessary, revising PDs for all positions under review.
- Perform classification audits as requested by management or in response to other organizational needs (e.g., as part of a classification review project or human resources management evaluation).
- Prepare evaluation statements or classifier's notes whenever the circumstances surrounding the position so require.
- Inform employees of their right to appeal classification decisions and provide information on appeal options and procedures. Human Resource Consultants cannot advise employees on whether they should or should not appeal. They can only advise on applicable options and procedures.
- Supply whatever documentation may be requested in conjunction with classification reconsiderations or appeals.

10.5 All Employees

C Provide input for the immediate superior and the Quality Assurance Manager in developing and revising PDs.

C Note any changes that may occur in duties assigned or level of responsibility and make sure supervisors are aware of these changes.

C Request a classification audit if the nature of the work has changed or if the current classification appears inaccurate for any other reason.

Approved by

CHAIRMAN

DATE

P 1028 Version Control Policy

1.0 PURPOSE

This policy ensures that the wide range of documentation produced by Professional Institute of Marketing and Business Studies Ltd. and that of the foreign partners are of the latest version and that the personnel at the Professional Institute of Marketing and Business Studies Ltd. (PIMBS Ltd.) use the most current training and assessment resources.

2.0 SCOPE

The Version Control Policy applies to documents of all types, including all Policies, Procedures, Manuals and Contracts of PIMBS Ltd.

3.0 PROCEDURE

1. A list of all documents is to be maintained by the Records Department.
2. A version mark is assigned to each version thus:

The original document will have Version 1.0

Revision 0.0

Revision Date: DD-MM-YY

Revision numbers and dates (size 8 font) are to be included in the Footer of the document.

3. Current versions of each document may be accessed electronically and will be taken as the original document with the appropriate version number and date as per the date it was created or saved, whichever is earlier.
4. Previous versions of the documents shall be destroyed immediately or deleted electronically.
5. Control of the current version is the responsibility of the Managing Director who in his/her discretion will act through Quality Assurance Manager.
6. If staff would like to propose a change to materials (of origin from PIMBS Ltd. only), this change must be submitted in writing to the Managing Director. Subsequently, the Managing Director must seek the approval of the Chairman before any change on the final document can be executed.

Document Name: Version Control Policy

Revision: 0.0

Revision Date: 04-01-17

Copy: Policy\

Created by: QAM

Approved by:

Document Location: Master