

OUR QUALITY

ASSURANCE

REQUIREMENTS

Version 5.1
June 2016

Document change history

This is version 5.1 of the City & Guilds *Our Quality Assurance Requirements* document. This version replaces all previous versions and it is the centre's responsibility to ensure that all staff involved in the provision of City & Guilds qualifications and/or assessments familiarise themselves with this version of the document.

There have been substantial revisions to the content of this document, as well as the formatting and layout. The key changes are outlined below.

This document is subject to revision, and maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

Version 5.1, June 2016

In this version, new sections are indicated with **NEW** in the margins and updated sections are indicated with **UPDATED**.

Section No.	Change
3.1	Section renamed and expanded to include information on Qualification approval (previously Section 3.2 in version 5.0)
3.2	Section title and explanation added
3.4	Renamed and updated to include information on Technical Qualifications
3.5	New section added regarding responsibility for learners
3.6	New section added about City & Guilds TechBac (including Technical Qualifications and Workplace Skills approval)
Section 4	Sub-title headings added to the section
Section 5	Sub-title headings added to the section
6.3	New section added regarding Technical Qualifications certification
7.3	New section added on moderation and standardisation of assessment for technical Qualifications)
9.2	4.11 Learners are assessed before they are registered with City & Guilds (if registration is required for the qualification) Qualification Approval Risk Status changed from Medium to Low
9.3	New section added on quality assurance monitoring for Technical Qualifications

Contents

Section	Title	Page
Section 1	Introduction	
1.1	Introduction to <i>Our Quality Assurance Requirements</i>	5
1.2	Who <i>Our Quality Assurance Requirements</i> is for	5
1.3	Regulatory requirements	5

Section 2	City & Guilds Standards and Code of Conduct for centres	
2.1	City & Guilds standards	6
2.2	Centre Code of Conduct	6

Section 3	Centre & qualification approval	
3.1	Centre and qualification approval process UPDATE	7
3.2	Centre Approval criteria	8
3.3	Qualification common approval	10
3.4	Assigning Qualification Approval Risk Status UPDATE	11
3.5	Registering learners and centre responsibility NEW	11
3.6	City & Guilds TechBac	11
3.6.1	City & Guilds Technical Qualifications approval	12
3.6.2	City & Guilds Workplace Skills approval	12

Section 4	Data requirements	
4.1	Assessment decisions	13
4.2	Learner data requirements	13
4.3	Minimum period for retaining records	14
4.4	Non-compliance with data requirements	14

Section 5	Monitoring and evaluation	
5.1	Quality assurance strategy	15
5.2	Access to centre information	15
5.3	Updating centre information	15
5.4	Non-compliance	16
5.5	Incorrect information	16
5.6	Failure to implement actions	16

Section	Title	Page
Section 6	Certification	
6.1	Claiming certificates	17
6.2	Invalid certificates	17
6.3	Technical Qualification certification NEW	18

Section 7	Assessment and Internal Quality Assurance Criteria	19
7.1	Assessment criteria	19
7.2	Internal quality assurance criteria	20
7.3	Moderation and standardisation of assessment for Technical Qualifications NEW	22
7.3.1	Internal standardisation NEW	22
7.3.2	Supervision and authentication of internally assessed work NEW	22
7.3.3	Moderation NEW	22
7.3.4	Further information NEW	23

Section 8	Dealing with malpractice and maladministration	24
------------------	--	----

Section 9	Post-approval monitoring criteria and Qualification Approval Risk Status	
9.1	Qualification Approval Risk Status	26
9.2	Post-approval monitoring criteria	27
9.3	Technical Qualifications quality assurance monitoring NEW	33

Appendix 1	Glossary	34
Appendix 2	Useful Contacts	37

Section 1

Introduction

1.1 Introduction to *Our Quality Assurance Requirements*

Quality assurance is fundamental to City & Guilds as an awarding organisation and is embedded in all processes, products and services. It guarantees the integrity and value of City & Guilds qualifications and/or assessments throughout their life cycle. City & Guilds ensure that quality is embedded in the design and delivery of qualifications and programmes, and work with centres to ensure this.

This document explains the requirements for the delivery, assessment and awarding of City & Guilds qualifications. All centres must adopt and implement these requirements across their qualification provision.

This document:

- specifies the quality assurance and control requirements that apply to all centres
- sets out the basis for securing high standards, for all qualifications and/or assessments
- details the impact on centres of non-compliance.

1.2 Who *Our Quality Assurance Requirements* is for

It is a requirement of approval that all centres hold the latest version of this document. All centre staff involved in assessment and quality assurance should be familiar with the requirements detailed in the latest version.

This document is also used by External Quality Assurers (EQAs) to reference during their quality assurance visits and activities.

1.3 Regulatory requirements

Our Quality Assurance Requirements encompasses the relevant regulatory requirements of the following documents, which apply to all UK centres working with City & Guilds:

- **Ofqual General Conditions of Recognition**
- **SQA Accreditation's Regulatory Principles**
- **Qualification Wales' Criteria for Recognition**

Section 2

City & Guilds Standards and Code of Conduct for centres

2.1 City & Guilds standards

The City & Guilds Quality Teams are responsible for supporting centres to ensure quality in the delivery and assessment of City & Guilds qualifications. They plan and manage all quality assurance activities for centres, working closely with EQAs and Centre Quality Contacts to ensure that *Our Quality Assurance Requirements* are adhered to.

The Quality Teams establish and maintain a professional working relationship with centres, built on values of courtesy and professional behaviour.

All City & Guilds staff and EQAs also adhere to the *Safeguarding Children, Young People and Vulnerable Adults Policy*, which is available on the website.

2.2 Centre Code of Conduct

The City & Guilds Code of Conduct is detailed below. Centres are expected to adhere to this and be courteous and professional in all communications and dealings with the Quality Teams, allocated EQAs and other representatives of City & Guilds.

This means:

- enabling them to carry out their activities openly and honestly
- providing timely evidence that will enable them to report honestly, fairly and accurately on a centre's assessment and quality assurance provision
- working with them to minimise disruption and bureaucracy
- taking all reasonable steps to ensure their health and safety while on centre premises
- maintaining positive relations and a purposeful dialogue
- raising any concerns about their activity with them, promptly and appropriately
- respecting their right to observe practice and quality assure assessment, and to talk to staff and learners as and when they need to
- ensuring they are accompanied by centre staff during any activities or interactions with children, young people and vulnerable adults.

This Code of Conduct must be adhered to and failure to follow it may affect a centre's Qualification Approval Risk Status. For more detailed information on this, see *Section 9* of this document.

Section 3

Centre & Qualification Approval

3.1 Centre and qualification approval process

UPDATE Organisations that are not already approved to offer City & Guilds qualifications must apply for centre and qualification approval at the same time.

Approved centres can add to the list of City & Guilds qualifications they offer by following the Qualification approval process.

Detailed information on both processes is available in the *City & Guilds Centre Manual*.

City & Guilds will use the centre approval criteria, along with the post-approval monitoring criteria, specified in *Section 9* of this document, as the basis for approval and ongoing external quality assurance monitoring.

3.2 Centre approval criteria

UPDATE This table lists the centre approval criteria along with the sources of evidence that would meet these criteria, and the section of the Centre Approval Application (CAP) Form that they relate to.

OQAR ref	Centre approval criteria	Sources of evidence	CAP ref
3.1.1	The centre has a single named Centre Quality Contact	A documented named point of accountability for management of quality assurance, with secure contact details (specific to the centre)	Sections 1.6, 9
3.1.2	The centre can hold and securely transmit details of assessment outcomes	<ul style="list-style-type: none"> Documented procedures to ensure security when sending and receiving details of learner results to City & Guilds 	Section 5.3
3.1.3	<p>The centre has the staff, resources and systems needed to support:</p> <ul style="list-style-type: none"> the delivery of assessment where necessary, the recording of any appropriate exemptions 	<ul style="list-style-type: none"> Documented quality assurance procedures An organisational chart Up-to-date CVs, original certificates, and/or assessor qualifications of the assessment/delivery team Documented procedures for registering learners within 12 weeks (unless there is a specified exception to this rule i.e. a short course programme) Learner tracking documentation Procedures for recording exemptions, appeals, complaints, malpractice, maladministration, reasonable adjustments, special considerations and plagiarism Induction plans for centre staff involved with delivery, assessment and internal quality assurance A documented Equal Opportunities policy and procedures, along with evidence of their implementation. A documented Health & Safety policy and procedures, along with evidence of their implementation. 	Sections 6.3 - 6.7, 6.9, 6.12-6.13, 7.2

OQAR ref	Centre approval criteria	Sources of evidence	CAP ref
3.1.4	The centre has arrangements in place to obtain a Unique Learner Number (ULN), Scottish Candidate Number (SCN) and a learner record if required to do so	<ul style="list-style-type: none"> • Documented procedures in place for obtaining ULN/SCN • Documented procedures for accessing learner records 	Section 7.3
3.1.5	The centre has arrangements in place to access learner records and ascertain previous achievements	<ul style="list-style-type: none"> • Documented procedures for accessing learner records 	Section 7.4
3.1.6	The centre has administrative systems in place to track the learner's progress	<ul style="list-style-type: none"> • Records of learner tracking systems • Assessment records • Individual Learning Plans (ILP) 	Sections 6.1, 6.2, 7.1
3.1.7	The centre has arrangements in place that allow for the Recognition of Prior Learning (RPL)	<ul style="list-style-type: none"> • Records of initial assessment procedures • Learner induction plans • Individual Learning Plans (ILP) 	Section 7.5
3.1.8	The centre documents the respective roles and responsibilities of any partnership arrangements, including satellite centres, additional assessment sites and subcontracted providers. This includes their contractual relationship.	<ul style="list-style-type: none"> • Partner contracts and service agreements • Recorded agreements for roles and responsibilities 	Sections 2.2, 2.3, 6.8

OQAR ref	Centre approval criteria	Sources of evidence	CAP ref
3.1.9	The centre must give City & Guilds access to premises, people and records, and to cooperate with any of the allocated quality assurance activities.	<ul style="list-style-type: none"> Completion and sign-off of the <i>Centre Approval Form (CAP)</i> declaration 	Section 9
3.1.10	<p>The centre declares any withdrawn centre or qualification approval from the City & Guilds or other Awarding Organisations.</p> <p>The centre contact declares if they have been a director or centre contact for any centre that has had any approval removed</p>	<ul style="list-style-type: none"> Sign-off of <i>Centre Approval Form (CAP)</i> declaration 	Section 9

3.3 Qualification common approval

For some qualifications, City & Guilds may accept transferred approvals from other Awarding Organisations and will approve Direct Claim Status (DCS), if a centre currently has this with the original Awarding Organisation.

City & Guilds are provisionally prepared to approve centres provided that the following information is provided:

- a completed copy of a *Qualification Approval (QAP) Form*
- two positive EQA reports from the relevant Awarding Organisation (one within the last 12 months)
- a letter from the original Awarding Organisation confirming that DCS applies to the qualification at the time that it is being transferred.

The centre will then receive an EQA visit within three months of approval, so that DCS for this qualification can be reviewed. For further information on this process and which qualifications may be eligible, please contact the Quality Teams.

3.4 Assigning Qualification Approval Risk Status

UPDATE

As part of the post-approval external quality assurance activities, centres are monitored and awarded a Qualification Approval Risk Status, using a risk-based assessment strategy.

There are three types of Qualification Approval Risk Status that the Quality Teams can assign, based upon the centre's ability to meet the *Centre Approval Criteria* and the *Post-Approval Monitoring Criteria*. These are Low (L), Medium (M) and High (H). Please see *Section 9* of this document for definitions of these statuses and what they mean for centres.

Please note, the newly developed Technical Qualifications do not follow this model. While they are subject to the same approval criteria, centres are not able to claim certificates for learners. Additionally the registering and assessment of learners happens within specific windows during the academic year.

3.5 Registering learners and centre responsibility

NEW

The centre that registers and certifies learners is responsible for them. This includes the management of all quality assurance, compliance and potential malpractice issues associated with these learners.

Please note that during quality monitoring visits, EQAs will not look at the work of any learner who is not registered with City & Guilds.

3.6 City & Guilds TechBac

NEW

City & Guilds TechBac is a new approach to skills-based education for 14-19 year that's been designed to bridge the gap between education and employment.

TechBac has been developed with employers and education providers to offer a unique blend of hands-on technical skills, transferable 'soft' skills and workplace behaviours.

TechBac comprises two main elements;

- Technical skills can be achieved through a core City & Guilds Technical qualification, co-created and supported by employers and designed to meet all the latest education reforms, with UCAS points at level 3 for progression to university.
- Workplace skills are achieved through City & Guilds Workplace Skills which is a blended approach to learning that brings together multiple experiences to ensure workplace skills thread throughout the TechBac experience.

Both components of TechBac are subject to approval and ongoing quality assuring monitoring.

3.6.1 City & Guilds Technical Qualifications approval

NEW City & Guilds Technical Qualifications can be taken as standalone qualifications or as part of the TechBac. This new classification of vocational qualifications, designed for learners aged 16 to 19 who wish to specialise in a technical occupation or occupational group, will provide opportunities for the learner to progress to employment, an Apprenticeship, or further learning.

Organisations wishing to offer any of the Technical Qualifications will be required to apply for centre and/or qualification approval as normal. All centres will receive a qualification approval visit as part of the approval process.

For Key Stage 5 (KS5) qualifications centres also need to meet a requirement to provide all learners with access to meaningful learner involvement. For further information on this, please see the *Technical Qualifications - Employer Involvement Centre Guidance* document available in the *Quality Assurance documents* section of the City & Guilds website.

3.6.2 City & Guilds Workplace Skills approval

NEW City & Guilds Workplace Skills is a unique learning package that helps 14-19 year olds develop the right attitudes, 'soft' skills and behaviours to succeed in the work environment.

The e-learning and online activities are delivered through Skills Zone, the online gateway to Workplace Skills.

Centres undertaking the full TechBac programme must ensure delivery all the following elements:

- Completion of MySkills e-learning within the Skills Zone online portal
- Participation in the annual Team Challenge
- Completion of a work placement at Key Stage 5, (a mandatory component of all programmes of study)
- Completion of the Project Qualification – an internally marked, externally moderated qualification

To apply for approval to deliver Workplace Skills centres are required to complete a *Workplace Skills Quality Statement*. This is available in the *Application for Centres* section of the website and should be submitted to the City & Guilds Quality Team.

This form represents a centre's commitment to ensuring that the quality assurance requirements for the use of Workplace Skills are being met.

The *Workplace Skills Quality Statement* is available on the website at **www.cityandguilds.com/techbac**.

Section 4

Data requirements

Centres must have systems in place to securely collect and retain a range of accurate, up-to-date learner information, and can provide it when required by City & Guilds.

4.1 Assessment decisions

Centres must set up and maintain reliable, auditable quality assurance systems for documenting and recording assessment decisions.

4.2 Learner data requirements

Centres must keep adequate records to track learner progress and allow for the independent authentication of certification claims, and external quality assurance. These records must include the following:-

a) A list of all learners registered for each qualification offered, including their:

- name, date of birth and contact details, including address, telephone number and email address
- workplace address and details (where applicable)
- starting date at the centre
- date of registration with the awarding organisation
- learner registration number
- Unique Learner Number/Scottish Candidate Number (if applicable)
- Assessors' and tutors' name(s)
- Internal Quality Assurer's name(s).

b) Learner assessment records detailing:

- who assessed what and when
- the assessment decision
- the assessment methods used
- the location and storage location of relevant supporting evidence.

c) Records of internal quality assurance activity detailing:

- who quality assured what and when

- the sampling strategy, including the sample selected and the rationale for choosing that sample
- details of Internal Quality Assurer standardisation meetings, along with any evidence of internal updating Assessor support meetings
- Assessor and Internal Quality Assurer competence, including copies of certificates, CVs and records of their continuing professional development, relevant qualifications and their monitored progress towards required qualifications
- records of certificates claimed – who claimed them and when
- records of learner appeals – who appealed, about what, when, and the outcome
- records of learner complaints – who complained, about what, when, and the outcome.

4.3 Minimum period for retaining records

Centres must retain these records as soon as a learner is registered and then for a minimum of three years following certification, in case any issues arise. These records must be made available to City & Guilds upon request. If relevant regulatory authorities make a request to see these records, either directly to the centre or via City & Guilds, they must be made available.

4.4 Non-compliance with data requirements

If centres do not comply with these requirements for auditable records, and cannot substantiate claims made on behalf of learners it will affect their Qualification Approval Risk Status (see *Section 9* of this document for further information).

Please note: This section is referenced within Section 6 of the *Centre Approval (CAP) Form*.

Section 5

Monitoring and evaluation

The City & Guilds Quality Teams use a range of monitoring and evaluation activities to assess the quality, consistency and integrity of all centres and check that each centre continues to meet approval requirements.

5.1 Quality assurance strategy

Centres must:

- monitor and maintain the quality, consistency and integrity of the delivery and assessment of City & Guilds qualifications within the centre (including satellite sites, additional assessment sites and subcontracted providers)
- ensure a standardised approach to quality assurance practice, under a single documented quality assurance strategy
- review the strategy regularly and systematically, and act on the findings of those reviews, taking all reasonable steps to protect the interest of the learner(s), in case of withdrawal of qualification and/or centre approval.

5.2 Access to centre information

Centres must provide City & Guilds and any relevant regulator with access to premises, people and records relating to learner assessment, achievement and internal quality assurance. Failure to do this will result in a higher qualification approval risk status.

5.3 Updating centre information

Centres must inform City & Guilds of any changes to the details on their initial approval application, using the *Centre Update (CU) Form*. This includes:

- centre name and address
- centre contact, and their contact details
- staffing resources, including directors and senior management
- physical resources
- details of any satellite sites, assessment sites and subcontracted providers.

If there is a change in ownership or management control at a centre, then City & Guilds reserves the right to terminate centre approval and request that the centre submits a new *Centre Approval (CAP) form*.

In cases where centres fail to inform City & Guilds of a change in ownership or management control, then the centre's right to register learners and claim certification for all qualifications will be automatically suspended until City & Guilds determine the appropriate course of action.

5.4 Non-compliance

While City & Guilds recognises that all centres share a commitment to consistent quality assurance, a centre's Qualification Approval Risk Status will be increased in any situations of non-compliance. For further information on this see *Section 9* of this document.

If external monitoring and evaluation show that a centre is not meeting the quality assurance requirements set out in this document, City & Guilds will:

- take what is deemed to be the appropriate action
- set a realistic deadline for the centre to complete these actions.

5.5 Incorrect information

If City & Guilds find that a centre has made any inaccurate or misleading statements and/or submissions during the centre approval process or qualification approval process, or at any time in the assessment process, the appropriate action will be taken.

5.6 Failure to implement actions

Where centres do not implement the corrective actions specified by City & Guilds centre and/or qualification approval will be withdrawn and the relevant regulatory authorities will be informed.

Please note: This section is referenced within Section 6 of the *Centre Approval (CAP) Form* and also referenced within Section 4 of the *Qualification Approval (QAP) Form*.

Section 6

Certification

6.1 Claiming certificates

Centres must have a system in place that ensures that all certification claims are valid and signed off by an appropriate person.

Certificates can only be claimed on completion by the candidate of a unit/qualification (as appropriate).

All claims for certification must be authenticated by an appropriate occupationally qualified Internal Quality Assurer, if this is specified in the qualification and/or assessment documentation. City & Guilds do not accept certification claims without this.

Where the centre does not have Direct Claim Status for the qualification, the signature of the EQA must also be obtained before claiming certification.

If a centre does not have someone appropriately qualified, they must contact the Quality Teams who will provide further advice.

Valid certificates are the property of the candidate, and cannot be withheld by centres.

6.2 Invalid certificates

If centres claim any certificates in error they must notify City & Guilds immediately and comply with any actions that are specified.

In instances where certificates are found to be invalid, City & Guilds will inform the relevant Regulatory authority and other appropriate authorities, and agree the appropriate actions with them. Certificates are deemed invalid in the following circumstances:

- The evidence assessed is not the candidate's own work
- The candidate is still working towards the qualification after the certificate has been claimed
- The certificates have been claimed on the basis of falsified or incorrect records

These circumstances may also constitute malpractice. Please see *Section 8* for further information.

Please note: This section is referenced within Section 6.1 of the *Centre Approval (CAP) Form*.

6.3 Technical Qualifications certification

NEW For the new Technical Qualifications, centres are not able to claim certificates directly. Certificates will be issued by City & Guilds once all components of the qualification have been completed by learners, and marking and moderation has taken place. This will be at the same point of the academic year for all centres.

Further information on the Moderation and Standardisation process can be found in *Section 7* of this document.

Further information on marking and moderation can be found in the *Technical Qualifications – Guide to Marking and Moderation* document, available in the *Quality Assurance documents* section of the website.

Section 7

Assessment and Internal Quality Assurance Criteria

City & Guilds is committed to providing valid and reliable assessments, and effective internal quality assurance plays a vitally important role in achieving and maintaining the required quality of assessment practice.

For that reason centres must adopt and implement the criteria listed in this section across all City & Guilds qualifications and/or assessments, not just those that are competence-based. In those cases where the qualification is not competence-based the Tutor may assume the role of the Assessor (depending on the guidance in the qualification and/or assessment guidance), with the Qualification Co-ordinator or Manager providing the internal quality assurance.

7.1 Assessment criteria

7.1.1 Centres must appoint Assessors to carry out centre assessment, and those Assessors are responsible and accountable for:

- managing the assessment system, from assessment planning, to recording assessment decisions against qualifications and/or assessments
- assessing evidence of learner competence/capability against vocational qualifications and/or standards, assessment criteria or mark schemes
- ensuring that learners' evidence is valid, authentic and sufficient
- maintaining accurate and verifiable learner assessment and achievement records in line with requirements
- ensuring that learners are assessed only after they have been registered with City & Guilds, if registration is required for the qualification.
- EQAs will not look at any work by learners who have not been registered.

7.1.2 Centres must ensure that Assessors are competent to perform their role, and provide appropriate training and development opportunities to ensure that they meet the required standards set out in the qualification and/or assessment documentation.

7.1.3 Centres must know and comply with City & Guilds requirements for recording assessment decisions and maintaining assessment records, and must be familiar with all relevant policy and guidance documentation.

7.1.4 Centres must ensure that the assessment decisions of unqualified Assessors are checked, authenticated and countersigned by an Assessor or Internal Quality Assurer (IQA) who is appropriately qualified, as specified in the relevant assessment strategy. The IQA is responsible and accountable for arranging the countersigning process, and must sample an appropriate proportion of assessment decisions by unqualified Assessors. IQAs may only quality assure evidence that they did not assess, and this should be carried out before centres can claim certificates.

7.1.5 Assessors and learners must provide a written declaration that learner evidence is authentic and that assessment took place under the conditions or context set out in the qualification and/or assessment documentation. Failure to do this constitutes grounds for the suspension or withdrawal of approval for the qualification/assessment in question.

7.1.6 Centres must provide appropriate training, support and/or development opportunities to enable Assessors to meet their responsibilities. Assessors must be allowed sufficient time to fulfil their duties. Records must be kept of all staff development as this will be monitored by the allocated EQA(s).

7.1.7 Centres will ensure that assessment arrangements comply with those detailed in the qualification and/or assessment documentation.

7.1.8 Assessments may not be carried out in any language other than English, Welsh or Irish (Gaeilge), unless prior approval has been granted by City & Guilds. For further information, see the *City & Guilds Centre Manual*.

7.2 Internal quality assurance criteria

7.2.1 Centres must operate and maintain explicit, written internal quality assurance procedures to ensure:

- the accuracy and consistency of assessment decisions between Assessors operating at the centre
- that Assessors are consistent in their interpretation and application of the assessment criteria/requirements specified in the qualification and/or assessment documentation.

7.2.2 Centres must appoint IQAs who are responsible for:

- regularly planning sampling activities, and sampling (throughout and before certification) the evidence of assessment decisions made by all

Assessors across all assessment methods, including observation of practice against competence-based qualifications

- regularly sampling and being present at practical assessments, grading learners' work, and carrying out moderation of grading decisions
- maintaining up-to-date records of internal quality assurance and sampling activity, ensuring that these are available, upon request, for external quality assurance activities
- establishing procedures to ensure that there is standardisation between Assessors
- monitoring and supporting the work of Assessors
- facilitating appropriate staff development and training for Assessors
- providing feedback to the allocated Assessors and EQA(s) on the effectiveness of assessment
- ensuring that any action that City & Guilds require is carried out, within the agreed timescales.

7.2.3 Centres must ensure that IQAs are competent to perform their role, and have sufficient time to fulfil their duties. They must provide appropriate training, support and/or development opportunities to ensure that Internal Quality Assurers meet the requirements set out in the qualification and/or assessment documentation, and must keep auditable records for checking by the EQA.

7.2.4 Centres must ensure that the decisions of unqualified IQAs are checked, authenticated and countersigned by an IQA who is appropriately qualified, as specified in the relevant assessment strategy.

7.2.5 Centres must provide evidence of IQAs development activities and qualifications

7.2.6 IQAs may carry out assessment at the centre, but only if they have the qualifications and occupational expertise specified for Assessors in the qualification and/or assessment documentation. IQAs may only quality assure evidence they did not assess.

7.2.7 Centres must provide evidence demonstrating the effectiveness of such internal quality assurance procedures upon request by EQAs. Failure to do so puts the integrity of assessment decisions made at the centre at risk, and in that situation the Qualification Approval Risk Status will be increased.

Please note: This section is referenced within Section 2 & 4 of the *Qualification Approval (QAP) Form*.

7.3 Moderation and standardisation of assessment for Technical Qualifications

NEW Technical Qualifications feature externally-set assignments designed to draw from across the qualifications' content, and to contribute a significant proportion towards the learner's final qualification grade. These are internally marked by centres and are subject to external quality assurance through moderation by City & Guilds.

7.3.1 Internal standardisation

NEW For internally marked assignments the centre is required to conduct internal standardisation to ensure that all work at the centre has been marked to the same standard.

7.3.2 Supervision and authentication of internally-assessed work

NEW The Head of Centre is responsible for ensuring that internally-assessed work is conducted in accordance with City & Guilds' requirements.

City & Guilds requires:

- candidates to sign the *Declaration of authenticity form* to confirm that any work submitted is their own
- tutors to confirm on the record form that the work assessed is solely that of the candidate concerned and was conducted under the conditions laid down in the assessment documentation

If the tutor is unable to sign the authentication statement for a particular candidate, then the candidate's work cannot be accepted for assessment.

7.3.3 Moderation

NEW Moderation is the process where external examiners review centre marking of internally marked assessments. These examiners are referred to as 'moderators'. Moderators will mark a representative sample of centre-marked, candidates' work from every centre. Their marks act as a benchmark to inform City & Guilds whether centre marking is in line with the national standard.

Where moderation shows that the centre is applying the marking criteria correctly, centre marks for the whole cohort will be accepted.

Where moderation shows that the centre is either consistently too lenient or consistently too harsh in comparison to the national standard, an appropriate adjustment will be made to the marks of the whole cohort, retaining the centre's rank ordering.

7.3.4 Further information

NEW Further information on marking and moderation can be found in the *Technical Qualifications – Guide to Marking and Moderation* document and the relevant qualification and/or assessment document, available on the website.

Further information on Technical Qualifications can be found at **www.cityandguilds.com/techbac**.

Section 8

Dealing with malpractice and maladministration

City & Guilds are committed to providing high quality qualifications which are assessed and awarded consistently, accurately and fairly. To this end everyone involved in the implementation, assessment and internal quality assurance of City & Guilds qualifications and/or assessments is required to demonstrate honesty and integrity.

Malpractice is defined by City & Guilds as an act or an instance of improper practice and includes maladministration. Malpractice is any activity, practice or omission which is either wilfully negligent or deliberately contravenes regulations and requirements and compromises one or more of the following:

- internal or external assessment process
- integrity of a qualification
- validity of a result or certificate
- reputation and credibility of City & Guilds.

Maladministration is defined as any activity, practice or omission which results in centre or learner non-compliance with administrative regulations and requirements. For example: persistent mistakes or poor administration within a centre resulting in the failure to keep appropriate learner assessment records.

If a centre discovers or suspects malpractice they are required to report it to the Investigation & Compliance team within 10 working days and prior to the commencement of any internal investigation. Failure to do so may affect a centre's Qualification Approval Risk Status (for ILM their Centre Support Status).

Where malpractice or maladministration is suspected in a centre, or a partner organisation involved in administering or assessing a qualification, City & Guilds may:

- immediately suspend the centre from registering learners and/or making claims for certification
- investigate whether the safeguards at the centre are up to the standard required to guarantee valid claims

Regardless of the circumstances or the people involved, City & Guilds will investigate all allegations or suspicions of malpractice in examinations and assessment to protect the integrity of its qualifications and to be fair to centres and learners.

All information which City & Guilds deems necessary in order to investigate and resolve an allegation of malpractice must be provided by the centre.

Failure to report suspected malpractice and/or cooperate with follow-up activity may lead to awards not being made, certificates not being issued, future entries and/or registrations not being accepted or withdrawal of qualification and/or centre approval.

For further information on malpractice and how to report it, please refer to the City & Guilds document *Managing cases of suspected malpractice in assessment and examinations* which is available on the website.

Section 9

Post-approval monitoring criteria and Qualification Approval Risk Status

Introduction

City & Guilds has a responsibility to work with centres to ensure that provision of qualifications and/or assessments is undertaken according to the relevant regulatory requirements, and in accordance with the quality assurance requirements in this document. This is so the ongoing validity, reliability and integrity of qualifications and/or assessments can be guaranteed. This section details the post-approval monitoring criteria that centres should be meeting, and the impacts of a centres failure to do so.

9.1 Qualification Approval Risk Status

As part of the post-approval external quality assurance activities, centres are monitored and awarded a Qualification Approval Risk Status for each City & Guilds qualification they deliver. This is based upon the centre's ability to meet the criteria outlined in this document.

Each Qualification Approval Risk Status is based on a risk-based assessment strategy, and have the following outcomes:

Qualification Approval Risk Status	Outcome	Reasons
L – Low	The centre has the ability to register learners and claim for certificates at will. This is also known as Direct Claims Status.	Any issues identified could be easily corrected without further consequence and do not have an adverse effect on the learner.
M – Medium	The centre may register learners at will, but any claims for certification must be agreed by a City & Guilds EQA.	Issues identified could potentially damage the integrity, credibility and validity of the qualification and/or be detrimental to the learner.
H – High	The centre is unable to register or certificate learners.	Issues identified could have a significant impact on the integrity, credibility and validity of the qualification or the effective operation of a centre as a whole, if corrective action is not taken quickly.

9.2 Post-approval monitoring criteria

This table details the post-approval centre monitoring criteria, based upon the regulatory requirements of this document, along with the associated Qualification Approval Risk Status that will be awarded if a centre fails to meet these criteria.

EQAs will make reference to these criteria on the Centre Activity Report (CAR) that they complete for each monitoring visit.

Note: In any instance where an EQA identifies that a previously set action has not been responded to, or fully completed, the Quality Approval Risk Status will be increased to the next level.

Section 1	Management systems			
Reference	Non-compliance issue	QAR status	Result	Page ref
1.1	Inadequate arrangements in place to ensure learners registered correctly within 12 weeks (unless there is a specified exception to this rule i.e. A short course programme)	Low	Allow registration and certification (DCS)	p7
1.2	Insufficient arrangements in place to obtain ULN/SCN and learner record if required to do so	Low	Allow registration and certification (DCS)	p8
1.3	Failure to update City & Guilds with changes to the initial centre approval application on management systems	Low	Allow registration and certification (DCS)	p13
1.4	Failure to notify / no documentation of City & Guilds of partnerships/subcontractor relationships	Medium	Allow registration and suspend certification	p8
1.5	No single named centre contact	Medium	Allow registration and suspend certification	p7
1.6	Failure to maintain and keep records of management systems	Medium	Allow registration and suspend certification	p11-12
1.7	Insufficient management systems, to support the assessment of qualifications	High	Suspend registration and certification	p7, p11

Section 2		Resources		
Reference	Non-compliance issue	QAR status	Result	Page ref
2.1	Insufficient arrangements in place for Recognition of Prior Learning (RPL)	Low	Allow registration and certification (DCS)	p8
2.2	Failure to update City & Guilds on changes in resources, from those of initial centre approval	Low	Allow registration and certification (DCS)	p13
2.3	Insufficient staff and/or resources, to support the assessment of qualifications	High	Suspend registration and certification	p16-17
2.4	No competent Assessor(s) / IQA(s) or Assessor / IQA(s) do not have the required competency & experience to perform their role	High	Suspend registration and certification	p16-18

Section 3		Learner support		
Reference	Non-compliance issue	QAR status	Result	Page ref
3.1	Insufficient arrangements in place to obtain ULN/SCN and learner record if required	Low	Allow registration and certification (DCS)	p8
3.2	Insufficient arrangements in place to access the learners' previous achievement with learner consent or for Recognition of Prior Learning (RPL)	Low	Allow registration and certification (DCS)	p8

Section 4		Assessment		
Reference	Non-compliance issue	QAR status	Result	Page ref
4.1	Insufficient arrangements in place to hold and transmit securely the details of assessment outcomes	Medium	Allow registration and suspend certification	p7
4.2	Inadequate, administrative system in place to track and record learner progress	Medium	Allow registration and suspend certification	p8, p11
4.3	Centre does not comply with assessment recording requirements	Medium	Allow registration and suspend certification	p16
4.4	Documented evidence of assessment(s) carried out in language other than English, Welsh or Irish (Gaeilge)	Medium	Allow registration and suspend certification	P17
4.5	No countersigning of unqualified Assessor/IQA work (if this is required by qualification and/or assessment documentation)	Medium	Allow registration and suspend certification	p17-18
4.6	Assessment arrangements do not comply with requirements in the assessment documentation	Medium	Allow registration and suspend certification	p17
4.7	Insufficient established and maintained internal quality assurance system	High	Suspend registration and certification	p11
4.8	Adequate assessment records not retained	High	Suspend registration and certification	p11
4.9	No authentication of certification claims by IQA	High	Suspend registration and certification	p15
4.10	Appointed Assessor/ IQA does not act in a responsible and accountable manner	High	Suspend registration and certification	p16-18

Section 4 Assessment (continued)				
Reference	Non-compliance issue	QAR status	Result	Page ref
4.11	Learners are assessed before they are registered with City & Guilds (if registration is required for the qualification)	Low	Allow registration and certification (DCS)	p16
4.12	Ineffective internal assessment process and practices	High	Suspend registration and certification	p11, p16-17
4.13	Insufficient explicit internal quality assurance procedures	High	Suspend registration and certification	p17-18
4.14	No written declaration of authenticity for learner evidence	High	Suspend registration and certification	p17

Section 5 Quality Assurance				
Reference	Non-compliance issue	QAR status	Result	Page ref
5.1	Insufficient quality monitoring and/or consistency of practice within centre and across sites	Medium	Allow registration and suspend certification	p13
5.2	Failure to notify City & Guilds of certificates claimed in error / invalid certificates	Medium	Allow registration and suspend certification	p15
5.3	Insufficient evidence to demonstrate effectiveness of internal quality assurance procedures	Medium	Allow registration and suspend certification	p18
5.4	No access provided to City & Guilds staff or representatives to premises, people and records	High	Suspend registration and certification	p9, p13
5.5	Certificates claimed prior to completion	High	Suspend registration and certification	p15

Section 5 Quality Assurance (continued)				
Reference	Non-compliance issue	QAR status	Result	Page ref
5.6	Providing inaccurate statements in information and submissions	High	Suspend registration and certification	p14
5.7	Failure to report malpractice, and cooperate with any subsequent investigation	High	Suspend registration and certification	p19-20
5.8	No declaration of previous withdrawal of centre / qualification approval	High	Suspend registration and certification	p9

Section 6 Records				
Reference	Non-compliance issue	QAR status	Result	Page ref
6.1	Centre does not comply with requirements regarding recording assessment decisions	Medium	Allow registration and suspend certification	p16
6.2	Insufficient established and maintained or auditable internal quality assurance system	High	Suspend registration and certification	p11, p17-18
6.3	Adequate records not kept or Records not retained for three years	High	Suspend registration and certification	p11-12
6.4	Non-compliance with data requirements	High	Suspend registration and certification	p11-12

Section 7 Continuous improvement				
Reference	Non-compliance issue	QAR status	Result	Page ref
7.1	Insufficient training, support or development opportunities for Assessor/ IQA(s)	Low	Allow registration and certification (DCS)	p16-18
7.2	Insufficient evidence of IQA development	Low	Allow registration and certification (DCS)	p18

External Quality Assurers (EQAs) will complete a *Centre Activity Report (CAR)* as part of their monitoring visits, which is shared with the centre. Where required, this will include an action plan, along with an agreed timescale within which the actions must be completed. The Quality Teams will process this report to confirm the EQA's recommendations, and determine the appropriate Qualification Approval Risk Status.

Centres must meet these actions as agreed. Failure to do so will result in the Qualification Approval Risk Status Rating increasing to the next level. If a centre is currently on a High Centre Monitoring Rating and fails to meet the requirements of an action plan, within the timescales specified by City & Guilds, this may lead to the withdrawal of qualification and/or centre approval.

If a centre has previously rectified non-compliance issues in response to action plans, but displays the same non-compliance issues again at a later date, this will be taken into account when considering whether to apply a higher Qualification Approval Risk Status.

The Qualification Approval Risk Status represents a minimum response to identified non-compliances, but there are circumstances in which City & Guilds may judge that a higher level of external quality assurance monitoring is justified.

Where there are significant faults in the management of either a qualification or the centre as a whole, City & Guilds reserve the right to withdraw qualifications and/or centre approval in accordance with the requirements detailed in this document and the City & Guilds *Centre Manual*. Examples of such faults include:

- consistently failing to adhere to this document
- not completing actions while on a high Qualification Approval Risk Status
- malpractice, including inaccurate submissions/statements
- inappropriate use of the City & Guilds brand.

City & Guilds also take into consideration any sanctions applied by another Awarding Organisation, and reserve the right to withhold or withdraw qualification and/or centre approval based upon this.

9.3 Technical Qualifications quality assurance monitoring

NEW Technical Qualifications are subject to quality assurance monitoring in the following ways;

- external moderation of externally set assignments and optional units
- external marking of examinations
- external sampling of employer involvement (at Key Stage 5 only)

Centres completing Technical Qualifications will not be assigned a Qualification Approval Risk Status but, as with other qualifications, where there are significant faults in the management of either a qualification or the centre as a whole

City & Guilds reserve the right to withdraw qualifications and/or centre approval in accordance with the requirements detailed in this document and the *City & Guilds Centre Manual*.

Direct Claims status will not be available for any Technical Qualifications. Instead, individual mandatory assessments will be graded pass/merit/distinction. Qualification grades will be calculated based on a sum of the candidates' achievement across the mandatory assessments, and taking into account the assessments' weighting. Candidates are required to complete all mandatory assessments in order to achieve the qualification, along with completion of any optional units and employer involvement (for Key Stage 5 qualifications only).

Upon successful completion of all required components, results will be issued by City & Guilds.

Appendix 1

Glossary

The following section defines the key terms relating to City & Guilds Quality Assurance activities. Please note that while some terms may not appear in this document specifically, they will be useful for centre staff involved in delivery of City & Guilds qualifications and assessments.

When we say...	It means...
Actions	Corrective steps that are put in place by the City & Guilds Quality teams, as a result of non-compliance with the requirements of this document, based upon evidence supplied by External Quality Assurance activities. Centres must demonstrate that they have completed all actions in order for their Qualification Approval Risk Status not to be increased.
Apprenticeship Standards	Apprenticeship standards are set by Trailblazers' (employer-led groups that are developing the standards & assessment plans), that show what an apprentice will be doing and the skills required of them, by job role.
Approval (centre)	A process through which an organisation wishing to offer particular qualifications is confirmed as being a centre and is able to maintain the required quality and consistency of assessment.
Assessment	The process through which evidence of learners' attainments is evaluated against agreed criteria to provide the evidence for a qualification.
Assessment site	A location where registered learners undertake formal assessment in order to attain a qualification.
Assessor	A person appointed by the centre, responsible for the support and judgement of learner performance against defined standards, assessment criteria or mark schemes.
Awarding Organisation	An organisation such as City & Guilds that offers recognised qualifications. Its main functions are the design and development of qualifications and the operation of assessment and quality assurance systems to support the qualifications. An awarding organisation issues certificates or certificates of unit credit to learners achieving the requirements of a qualification.
Candidate	A learner who is registered to take a summative assessment, the successful completion of which will result in the issuing of a certificate.

When we say...	It means...
Centre	An organisation (such as a school, college, training provider or employer) approved by an awarding organisation for the assessment arrangements leading to a qualification
Centre Quality Contact	The centre quality contact is the person responsible for ensuring that the management, administrative and quality assurance systems for all City & Guilds qualifications are properly maintained throughout the centre and that communications between City & Guilds and the centre are dealt with efficiently.
Direct Claim Status	Direct Claim Status (DCS) is awarded to centres where the internal quality assurance systems are judged to be robust and meet the post-approval monitoring criteria outlined in this document. A centre with DCS can directly claim credit certificates for registered learners without requesting approval from City & Guilds.
External Quality Assurer	Appointed by City & Guilds to support, monitor and quality assure the assessment process.
External Quality Assurance	The quality assurance procedure to monitor assessment at the centre. External quality assurance includes inspection of procedures and sampling of assessments by the centre and by a City & Guilds EQA.
Independent Assessor	A person who works to assessment standards and who is occupationally competent to assess the subject. They will be an independent third party (i.e. an assessor who has nothing to gain or lose as a result of the assessment judgements they make).
Internal Quality Assurer	The person appointed by the centre to co-ordinate the assessment process internally.
Invigilator	The invigilator is the person responsible for conducting a particular examination session in the presence of the candidates, whether written, online or practical. Invigilators have a key role in upholding the integrity of the external examination/assessment process.
Learner	A person who is registered to undertake learning.
Moderation	The process of checking assessors' judgements of learners' work with the view to correcting them through advice and instruction if the assessment is not up to standard.
Moderator	External examiner appointed by City & Guilds to review centre marking of internally marked assessments

When we say...	It means...
National Occupational Standards	The standards of occupational competence developed by a Standards Setting Council (SSC) and approved by the regulatory authorities.
Qualification	An award made by an awarding organisation for demonstration of achievement or competence, based on learning outcomes and assessment criteria.
Qualification Approval Risk Status	The status given to a centre based upon monitoring and quality assurance activities undertaken by City & Guilds Quality Teams. These are subject to review based upon centres completion of the actions they are given. The three statuses are Low (L), Medium (M) and High (H).
Quality Co-ordinator	The key point of contact, for all matters related to centre and qualification Approvals and quality assurance.
Regulator	An organisation that regulates examinations, assessments, and qualifications in the UK against published regulatory criteria. This includes approving/recognising awarding organisations.
Tutors	A person appointed by the centre responsible for the support and tuition of the learner. The Tutor may also take on the role of Assessor.

Appendix 2

Useful Contacts

Please note - calls to 0844 numbers cost 5 pence per minute plus your telephone company's access charge.

UK Centres Registrations, Exam entries, Invoices, Missing or late exam materials, Results entries, Certification. Publication enquiries: logbooks, centre documents, forms, free literature	General support	T: +44 (0)844 543 0000
		F: +44 (0)20 7294 2413
		E: centresupport@cityandguilds.com
	e-assessment support	T: +44 (0)844 543 0000
		F: +44 (0)20 7294 2413
		E: evolvesupport@cityandguilds.com
New centres Sales advice and support and quality assurance	Sales support	T: +44 (0)844 846 0969
		E: directsales@cityandguilds.com
	Quality support	T: +44 (0)844 846 0969
		E: csdirect@cityandguilds.com
International centres Quality assurance, sales advice, results, entries, enrolments, invoices, missing or late exam materials		Please contact your local office: www.cityandguilds.com/about-us/international
UK learners General qualification information	T: +44 (0)844 543 0033	
	E: learnersupport@cityandguilds.com	
International learners General qualification information		Please contact your local office: www.cityandguilds.com/about-us/international
Employer Employer solutions including, Employer Recognition: Endorsement, Accreditation and Quality Mark, Consultancy, Mapping and Specialist Training Delivery	T: +44 (0)207 294 8128	
	E: business@cityandguilds.com	

About City & Guilds

City & Guilds is the UK's leading provider of vocational qualifications, offering over 500 awards across a wide range of industries, and progressing from entry level to the highest levels of professional achievement. With over 8500 centres in 100 countries, City & Guilds is recognised by employers worldwide for providing qualifications that offer proof of the skills they need to get the job done.

Copyright

The content of this document is, unless otherwise indicated, ©The City and Guilds of London Institute and may not be copied, reproduced or distributed without prior written consent. However, approved City & Guilds centres and learners studying for City & Guilds qualifications may photocopy this document free of charge and/or include a PDF version of it on centre intranets on the following conditions:

- centre staff may copy the material only for the purpose of teaching learners working towards a City & Guilds qualification, or for internal administration purposes
- learners may copy the material only for their own use when working towards a City & Guilds qualification

The Standard Copying Conditions (see the City & Guilds website) also apply.

Please note: National Occupational Standards are not © The City and Guilds of London Institute. Please check the conditions upon which they may be copied with the relevant Sector Skills Council.

Published by City & Guilds, a registered charity established to promote education and training

City & Guilds

1 Giltspur Street

London EC1A 9DD

T +44 (0)844 543 0000

F +44 (0)20 7294 2413

www.cityandguilds.com