

QUALIFICATION

STATUS GUIDELINES

-INTERNATIONAL

Version 1.1

July 2016

**For internal /
external use**

Document change history

This is version 1.1 of the Qualification Status Guidelines - International.

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

Version 1.1, July 2016

Section No.	Change
Reference Documents	Updated version of Centre Guide, General Terms & CAP Form

Qualification Status

Introduction

City & Guilds has a responsibility to work with centres to ensure that the delivery and assessment of our qualifications is carried out in keeping with our quality assurance requirements. This is so we can guarantee the ongoing validity, reliability and integrity of our qualifications. This document details the ongoing QA requirements that centres must meet, and the impact of a centre's failure to do so.

Qualification Status

As part of the ongoing Quality Assurance requirements, centres are monitored and assigned a Qualification Status for each qualification they deliver. This is based upon the centre's ability to meet the standards outlined in this document.

Each Qualification Status is monitored on an ongoing basis via our External Verification process, with the following outcomes:

Qualification Status	Outcome	Reasons
Full Approval	The centre has the ability to register learners and claim certificates at will. This is also known as Direct Claims Status (DCS)	Any issues identified could be easily corrected and do not have an adverse effect on the learner.
Registration Only¹	The centre may register learners, but is blocked from entering results. Any claims for certification must be agreed by a City & Guilds EV.	Any issues identified could potentially damage the integrity and validity of the qualification and may have an adverse effect on the learner.
Qualification Suspended	The centre is unable to register or certificate learners.	Any issues identified could have a significant impact on the integrity and validity of the qualification or the effective operation of a centre, if corrective action is not

¹ All newly approved centres/centres with new qualification approval are by default allocated **Registration Only** until their EV recommends Full Approval, following a minimum of one positive External Verification Visit after the initial approval.

		taken immediately.
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Our External Verifiers (EVs) will complete an External Verification Report (EVR) as part of their monitoring visits, which is reviewed by City & Guilds and shared with the centre. The EVR may include an action plan, with an agreed timetable for completion of the actions. City & Guilds will process this report, and determine the appropriate Qualification Status.

Centres must address any actions within an EVR. Failure to do so may result in the Qualification Status escalating to the next level.

If a centre has previously addressed action plans, but displays the same issues again at a later date, this may result in the suspension of certification and/or registration.

If a centre is on a Qualification Suspended status and does not address the action plan, within the time required, this may lead to the withdrawal of qualification and/or centre approval.

The Qualification Status outlined below are City & Guilds minimum response to non-compliance, but there are circumstances in which City & Guilds may determine that a higher Qualification Status is justified.

Where there are significant issues with the management of either a qualification or the centre as a whole, City & Guilds reserve the right to withdraw qualification and/or centre approval in accordance with the City & Guilds *International Centre Guide*. Examples of such issues include:

- consistently failing to adhere to City & Guilds requirements
- not completing actions while on a Qualification Suspended 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.

Quality Assurance Requirements

The below table details the ongoing Quality Assurance requirements, along with the minimum Qualification Status that will be applied if a centre fails to meet these requirements in the first instance, and recurring instances. The Qualification Status is allocated following the submission of the External Verification Report.

EVs will make reference to these criteria on the External Verification Report that they complete for each verification visit.

Note: In any instance where an EV identifies that a previous action has not been responded to, or fully completed, the Qualification Status may be increased to the next level.

Section 1	Management Systems			
	Non-compliance Issue	Status to be set – 1 st instance	Status to be set – recurring issue	Reference
1.1	Learners are not registered correctly within 30 days of course start	No change to current approval status	Registration Only	Centre Guide 4.2.3
1.2	Failure to update City & Guilds with changes to management systems since approval	No change to current approval status	Registration Only	Centre Guide 4.5
1.3	Failure to notify City & Guilds of partnerships/ subcontractor relationships	Registration Only	Qualification Suspended	Centre Guide 4.5
1.4	No single named centre contact for Quality Assurance	Registration Only	Qualification Suspended	Centre Guide 3.2.2
1.5	Failure to maintain and keep records of management systems	Registration Only	Qualification Suspended	Centre Guide 5.12
1.6	Insufficient management systems to support the assessment of qualifications	Qualification Suspended	Qualification Suspended	Centre Guide 3.4 & 3.5

Section 2		Resources		
	Non-compliance Issue	Status to be set – 1 st instance	Status to be set – recurring issue	Reference
2.1	Insufficient arrangements & evidence in place for Recognition of Prior Learning (RPL)	No change to current approval status	Registration Only	Centre Guide 5.1
2.2	Failure to update City & Guilds with changes in resources since approval	No change to current approval status	Registration Only	Centre Guide 4.5
2.3	Insufficient evidence of Assessor / IV professional development	Registration Only	Qualification Suspended	Centre Guide 5.12.1
2.4	Insufficient staff and/or resources, to support the assessment of qualifications	Qualification Suspended	Qualification Suspended	Centre Guide 3.4, 3.5
2.5	Assessor / IV(s) do not have the required competency & experience to perform their role	Qualification Suspended	Qualification Suspended	Centre Guide 5.11

Section 3 Learner Support				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
3.1	Insufficient arrangements in place to obtain learner Enrolment Number and learner record if requested	No change to current approval status	Registration Only	Centre Guide 4.2.2
3.2	Insufficient arrangements in place to support learner appeals and complaints	No change to current approval status	Registration Only	Centre Guide 5.4 & 5.13

Section 4 Assessment				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
4.1	Insufficient arrangements in place to securely hold details of assessment outcomes	Registration Only	Qualification Suspended	Centre Guide 3.4.3
4.2	Inadequate system in place to track and record learner progress	Registration Only	Qualification Suspended	Centre Guide 5.12

4.3	Centre not compliant with assessment recording requirements	Registration Only	Qualification Suspended	Centre Guide 5.12
Section 4	Assessment (continued)			
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
4.4	No countersigning of unqualified Assessor/IV work (if this is required by qualification and/or assessment documentation)	Registration Only	Qualification Suspended	Qualification handbook & Guidance on Internal Quality Assurance of Qualifications
4.5	Assessment not conducted as per the requirements in the qualification handbook	Registration Only	Qualification Suspended	Qualification handbook
4.6	Insufficient internal quality assurance system	Qualification Suspended	Qualification Suspended	Centre Guide 3.2.1 & 5.12
4.7	Adequate assessment records not retained	Qualification Suspended	Qualification Suspended	Centre Guide 5.12
4.8	No verification of certification claims by IV	Qualification Suspended	Qualification Suspended	Guidance on Internal Quality Assurance of Qualifications
4.9	Appointed Assessor/ IV does not act in a responsible and accountable manner	Qualification Suspended	Qualification Suspended	Guidance on Internal Quality Assurance of Qualifications

Section 4 Assessment (continued)				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
4.10	Learners are assessed before they are registered with City & Guilds (if registration is required for the qualification)	Registration Only	Qualification Suspended	Centre Guide 4.2.3
4.11	Ineffective assessment process and practices	Qualification Suspended	Qualification Suspended	Guidance on Internal Quality Assurance of Qualifications
4.12	Insufficient internal quality assurance procedures	Qualification Suspended	Qualification Suspended	Guidance on Internal Quality Assurance of Qualifications
4.13	No written declaration of authenticity for learner evidence	Qualification Suspended	Qualification Suspended	Guidance on Internal Quality Assurance of Qualifications

Section 5 Quality Assurance				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference

5.1	Insufficient monitoring and/or consistency of practice within centre and across sites	Registration Only	Qualification Suspended	Centre Guide 3.2.2
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Section 5 Quality Assurance (continued)				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
5.2	Failure to notify City & Guilds of certificates claimed in error / invalid certificates	Registration Only	Qualification Suspended	Centre Guide 4.2.5
5.3	Insufficient evidence to demonstrate effectiveness of internal quality assurance procedures	Registration Only	Qualification Suspended	Centre Guide 3.2.1
5.4	No access provided, when requested, to City & Guilds staff or representatives to premises, people and records	Qualification Suspended	Qualification Suspended	General Terms 4.1
5.5	Certificates claimed prior to completion of qualification	Qualification Suspended	Qualification Suspended	Centre Guide 4
5.6	Providing inaccurate or misleading information to City & Guilds	Qualification Suspended	Qualification Suspended	Application for Centre & Qualification approval, section 11

5.7	Failure to report malpractice, and cooperate with any subsequent investigation	Qualification Suspended	Qualification Suspended	Investigation Policy
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Section 5 Quality Assurance (continued)				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
5.8	Failure to declare previous withdrawal of centre / qualification approval by an Awarding Organisation	Qualification Suspended	Qualification Suspended	Application for Centre & Qualification approval, section 6

Section 6 Records				
	Non-compliance Issue	Status to be set – 1st instance	Status to be set – recurring issue	Reference
6.1	Insufficient maintained or auditable records of internal quality assurance system	Qualification Suspended	Qualification Suspended	Centre Guide 5.12

6.2	Adequate records not kept or records not retained for three years	Qualification Suspended	Qualification Suspended	Centre Guide 5.12
6.3	Non-compliance with data requirements	Qualification Suspended	Qualification Suspended	Centre Guide 5.12

Section 7	Continuous Improvement			
	Non-compliance Issue	Status to be set – 1 st instance	Status to be set – recurring issue	Reference
7.1	Insufficient training, support or Professional development opportunities for Assessor/ IV(s)	No change to current approval status	Registration Only	Guidance on Internal Quality Assurance of Qualifications
7.2	Insufficient evidence of IV professional development	No change to current approval status	Registration Only	Guidance on Internal Quality Assurance of Qualifications

Quality Assurance Requirements – Exam Audit

City & Guilds conducts unannounced audits of examinations run by centres. The criteria against which a centre is judged can be found in the City & Guilds *Regulations for the Conduct of Examinations (version 5.0, October 2015)*.

The below table details the ongoing Quality Assurance requirements related to the

high-risk criteria for examination audits, along with the minimum Qualification Status that will be applied if a centre fails to meet these requirements in the first instance, and recurring instances. The Qualification Status is allocated following the submission of the Audit Report.

Section 8	Exam Audit Criteria			
	Non-compliance Issue	Status to be set – 1 st instance	Status to be set – recurring issue	Reference
8.1	Exam papers not held securely prior to the exam	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations, 1.1, 1.2 & 1.4

Section 8	Exam Audit Criteria (continued)			
	Non-compliance Issue	Status to be set – 1 st instance	Status to be set – recurring issue	Reference
8.2	Examination not held at the specified address provided to City & Guilds	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations, 5.1 & 5.2
8.3	Seating arrangements do not prevent candidates from seeing each other's work	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations, 5.11

8.4	Invigilation not carried out by suitably qualified adult OR Invigilator acting as reader/scribe/assistant	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 6.1
8.5	Examination papers collected from secure storage prior to day of examination.	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 9.1 & 10.1
8.6	Unauthorised persons allowed in the examination room.	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 8.1

Section 8	Exam Audit Criteria (continued)			
	Non-compliance Issue	Status to be set – 1 st instance	Status to be set – recurring issue	Reference
8.7	Invigilator(s) did not ensure that candidates had no access to unauthorised items, including mobile phones.	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 4.2 & 9.3

8.8	Invigilator(s) not vigilant, not supervising candidates at all times, or carrying out other task(s).	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 13.1 & 13.2
8.9	Unauthorised retention of exam papers, in any format, by centre	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 18.1 & 19.1
8.10	Exam scripts left in an unsecure location	Registration only	Qualification Suspended	Regulations for the Conduct of Examinations 18.2

Reference Documents:

- City & Guilds International Centre Guide 5th Edition
- City & Guilds Regulations for the Conduct of Examinations, October 2015, Version 5.0
- City & Guilds Guidance on Internal Quality Assurance of Qualifications, March 2014
- City & Guilds International General Terms, September 2016, version 1.1
- City & Guilds Investigation Policy, January 2015, Version 2.1
- Application for Centre & Qualification Approval (CAP), Version 4.1