

# Our Quality Assurance Requirements

Version 5.4  
October 2019



## Version control

This is version 5.4 of the City & Guilds / ILM *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 / ILM qualifications and/or assessments familiarise themselves with this version of the document.

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

## Change history (version 5.4, October 2019)

Section No.	Change
9	Page number references amended to reflect those in document (these had become misaligned in the previous version of the document)

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## Section 1

# Introduction

### 1.1 Introduction to *Our Quality Assurance Requirements*

Quality assurance is fundamental to all our processes, products and services as an awarding organisation. It guarantees the integrity and value of qualifications and assessments throughout their life cycle. City & Guilds / ILM 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 / ILM 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 must 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 and Republic of Ireland centres working with City & Guilds / ILM:

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

## Section 2

# City & Guilds / ILM Standards and Code of Conduct for centres

### 2.1 City & Guilds / ILM standards

The City & Guilds / ILM Quality Teams are responsible for supporting centres to ensure quality in the delivery and assessment of our 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 / ILM 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 / ILM 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 / ILM.

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

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

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

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

City & Guilds / ILM 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

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"> <li>Documented procedures to ensure security when sending and receiving details of learner results to City &amp; Guilds / ILM</li> </ul>	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"> <li>the delivery of assessment</li> <li>where necessary, the recording of any appropriate exemptions</li> </ul>	<ul style="list-style-type: none"> <li>Documented quality assurance procedures</li> <li>An organisational chart</li> <li>Up-to-date CVs, original certificates, and/or assessor qualifications of the assessment/delivery team</li> <li>Documented procedures for registering learners within 12 weeks (unless there is a specified exception to this rule i.e. a short course programme)</li> <li>Learner tracking documentation</li> <li>Procedures for recording exemptions, appeals, complaints, malpractice, maladministration, reasonable adjustments, special considerations and plagiarism</li> <li>Induction plans for centre staff involved with delivery, assessment and internal quality assurance</li> <li>A documented Equal Opportunities policy and procedures, along with evidence of their implementation.</li> <li>A documented Health &amp; Safety policy and procedures, along with evidence of their implementation.</li> </ul>	Sections 6.3 - 6.7, 6.9, 6.12-6.13, 7.2



<b>OQAR ref</b>	<b>Centre approval criteria</b>	<b>Sources of evidence</b>	<b>CAP ref</b>
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"> <li>• Documented procedures in place for obtaining ULN/SCN</li> <li>• Documented procedures for accessing learner records</li> </ul>	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"> <li>• Documented procedures for accessing learner records</li> </ul>	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"> <li>• Records of learner tracking systems</li> <li>• Assessment records</li> <li>• Individual Learning Plans (ILP)</li> </ul>	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"> <li>• Records of initial assessment procedures</li> <li>• Learner induction plans</li> <li>• Individual Learning Plans (ILP)</li> </ul>	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"> <li>• Partner contracts and service agreements</li> <li>• Recorded agreements for roles and responsibilities</li> </ul>	Sections 2.2, 2.3, 6.8

QQAR ref	Centre approval criteria	Sources of evidence	CAP ref
3.1.9	The centre must give City & Guilds / ILM access to premises, people and records, and to cooperate with any of the allocated quality assurance activities.	<ul style="list-style-type: none"> <li>Completion and sign-off of the <i>Centre Approval Form (CAP)</i> declaration</li> </ul>	Section 9
3.1.10	<p>The centre declares any withdrawn centre or qualification approval from the City &amp; Guilds / ILM 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"> <li>Sign-off of <i>Centre Approval Form (CAP)</i> declaration</li> </ul>	Section 9

### 3.3 Qualification common approval

For some qualifications, City & Guilds / ILM 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 / ILM 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**

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*.

- City & Guilds use Low (L), Medium (M) and High (H).
- ILM use 00/01, 02 and 03a/b

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**

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 / ILM.

## 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 / ILM.

### 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 / ILM upon request. If relevant regulatory authorities make a request to see these records, either directly to the centre or via City & Guilds / ILM, 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 / ILM 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 / ILM 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 / ILM 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 / ILM 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 / ILM 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 / ILM 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 / ILM determine the appropriate course of action.

#### **5.4 Non-compliance**

While City & Guilds / ILM 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 / ILM 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 / ILM 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 / ILM 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 / ILM 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 / ILM immediately and comply with any actions that are specified.

In instances where certificates are found to be invalid, City & Guilds / ILM 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*.



## Section 7

# Assessment and Internal Quality Assurance Criteria

City & Guilds / ILM 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 / ILM 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 / ILM, 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 / ILM 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 / ILM. For further information, see the *City & Guilds / ILM 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 / ILM 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*.

## Section 8

# Dealing with malpractice and maladministration

City & Guilds / ILM 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 / ILM qualifications and/or assessments is required to demonstrate honesty and integrity.

Malpractice is defined by City & Guilds / ILM 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 / ILM.

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 / ILM 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 / ILM 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 / ILM 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*, or the *ILM Malpractice and Maladministration Policy* which are available on their respective websites.

## Section 9

# Post-approval monitoring criteria and Qualification Approval Risk Status

### Introduction

City & Guilds / ILM 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 / ILM 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
<b>City &amp; Guilds - Low ILM - 00/01</b>	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.
<b>City &amp; Guilds - Medium ILM - 02</b>	The centre may register learners at will, but any claims for certification must be agreed by a City & Guilds / ILM EQA.	Issues identified could potentially damage the integrity, credibility and validity of the qualification and/or be detrimental to the learner.
<b>City &amp; Guilds – High ILM - 03a/b</b>	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)	p8
1.2	Insufficient arrangements in place to obtain ULN/SCN and learner record if required to do so	Low	Allow registration and certification (DCS)	p9
1.3	Failure to update City & Guilds / ILM with changes to the initial centre approval application on management systems	Low	Allow registration and certification (DCS)	p14
1.4	Failure to notify / no documentation of City & Guilds / ILM of partnerships/subcontractor relationships	Medium	Allow registration and suspend certification	p9
1.5	No single named centre contact	Medium	Allow registration and suspend certification	p8
1.6	Failure to maintain and keep records of management systems	Medium	Allow registration and suspend certification	p12-13

1.7	Insufficient management systems, to support the assessment of qualifications	High	Suspend registration and certification	p8, p12
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<b>Section 2</b>		<b>Resources</b>		
<b>Reference</b>	<b>Non-compliance issue</b>	<b>QAR status</b>	<b>Result</b>	<b>Page ref</b>
2.1	Insufficient arrangements in place for Recognition of Prior Learning (RPL)	Low	Allow registration and certification (DCS)	p9
2.2	Failure to update City & Guilds / ILM on changes in resources, from those of initial centre approval	Low	Allow registration and certification (DCS)	p14
2.3	Insufficient staff and/or resources, to support the assessment of qualifications	High	Suspend registration and certification	p17-19
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	p17-19

<b>Section 3</b>		<b>Learner support</b>		
<b>Reference</b>	<b>Non-compliance issue</b>	<b>QAR status</b>	<b>Result</b>	<b>Page ref</b>
3.1	Insufficient arrangements in place to obtain ULN/SCN and learner record if required	Low	Allow registration and certification (DCS)	p9
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)	p9



<b>Section 4</b>		<b>Assessment</b>		
<b>Reference</b>	<b>Non-compliance issue</b>	<b>QAR status</b>	<b>Result</b>	<b>Page ref</b>
4.1	Insufficient arrangements in place to hold and transmit securely the details of assessment outcomes	Medium	Allow registration and suspend certification	p8
4.2	Inadequate, administrative system in place to track and record learner progress	Medium	Allow registration and suspend certification	p9, p12
4.3	Centre does not comply with assessment recording requirements	Medium	Allow registration and suspend certification	p17
4.4	Documented evidence of assessment(s) carried out in language other than English, Welsh or Irish (Gaeilge)	Medium	Allow registration and suspend certification	p18
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	p18-19
4.6	Assessment arrangements do not comply with requirements in the assessment documentation	Medium	Allow registration and suspend certification	p18
4.7	Insufficient established and maintained internal quality assurance system	High	Suspend registration and certification	p12-13
4.8	Adequate assessment records not retained	High	Suspend registration and certification	p12
4.9	No authentication of certification claims by IQA	High	Suspend registration and certification	p16
4.10	Appointed Assessor/ IQA does not act in a responsible and accountable manner	High	Suspend registration and certification	p17-19

4.11	Learners are assessed before they are registered with City & Guilds / ILM (if registration is required for the qualification)	Low	Allow registration and certification (DCS)	p17
4.12	Ineffective internal assessment process and practices	High	Suspend registration and certification	p12, p17-19
4.13	Insufficient explicit internal quality assurance procedures	High	Suspend registration and certification	p18-19
4.14	No written declaration of authenticity for learner evidence	High	Suspend registration and certification	p18

<b>Section 5</b>		<b>Quality Assurance</b>		
<b>Reference</b>	<b>Non-compliance issue</b>	<b>QAR status</b>	<b>Result</b>	<b>Page ref</b>
5.1	Insufficient quality monitoring and/or consistency of practice within centre and across sites	Medium	Allow registration and suspend certification	p14
5.2	Failure to notify City & Guilds / ILM of certificates claimed in error / invalid certificates	Medium	Allow registration and suspend certification	p16
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 / ILM staff or representatives to premises, people and records	High	Suspend registration and certification	p10, p14
5.5	Certificates claimed prior to completion	High	Suspend registration and certification	p16
5.6	Providing inaccurate statements in information and submissions	High	Suspend registration and certification	p15
5.7	Failure to report malpractice, and cooperate with any subsequent investigation	High	Suspend registration and certification	p20-21
5.8	No declaration of previous withdrawal of centre / qualification approval	High	Suspend registration and certification	p10

<b>Section 6</b>		<b>Records</b>		
<b>Reference</b>	<b>Non-compliance issue</b>	<b>QAR status</b>	<b>Result</b>	<b>Page ref</b>
6.1	Centre does not comply with requirements regarding recording assessment decisions	Medium	Allow registration and suspend certification	p17
6.2	Insufficient established and maintained or auditable internal quality assurance system	High	Suspend registration and certification	p12, p18-19
6.3	Adequate records not kept or Records not retained for three years	High	Suspend registration and certification	p12-13
6.4	Non-compliance with data requirements	High	Suspend registration and certification	p12-13

<b>Section 7</b>		<b>Continuous improvement</b>		
<b>Reference</b>	<b>Non-compliance issue</b>	<b>QAR status</b>	<b>Result</b>	<b>Page ref</b>
7.1	Insufficient training, support or development opportunities for Assessor/ IQA(s)	Low	Allow registration and certification (DCS)	p18-19
7.2	Insufficient evidence of IQA development	Low	Allow registration and certification (DCS)	p19

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

City & Guilds / ILM 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.

## Appendix 1

### Glossary

The following section defines the key terms relating to City & Guilds / ILM 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 / ILM qualifications and assessments.

When we say...	It means...
<b>Actions</b>	Corrective steps that are put in place by the City & Guilds / ILM 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.
<b>Apprenticeship Standards</b>	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.
<b>Approval (centre)</b>	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.
<b>Assessment</b>	The process through which evidence of learners' attainments is evaluated against agreed criteria to provide the evidence for a qualification.
<b>Assessment site</b>	A location where registered learners undertake formal assessment in order to attain a qualification.
<b>Assessor</b>	A person appointed by the centre, responsible for the support and judgement of learner performance against defined standards, assessment criteria or mark schemes.
<b>Awarding Organisation</b>	An organisation such as City & Guilds / ILM 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.

<b>When we say...</b>	<b>It means...</b>
<b>Candidate</b>	A learner who is registered to take a summative assessment, the successful completion of which will result in the issuing of a certificate.
<b>Centre</b>	An organisation (such as a school, college, training provider or employer) approved by an awarding organisation for the assessment arrangements leading to a qualification
<b>Centre Quality Contact</b>	The centre quality contact is the person responsible for ensuring that the management, administrative and quality assurance systems for all City & Guilds / ILM qualifications are properly maintained throughout the centre and that communications between City & Guilds / ILM and the centre are dealt with efficiently.
<b>Direct Claim Status</b>	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 / ILM.
<b>External Quality Assurer</b>	Appointed by City & Guilds / ILM to support, monitor and quality assure the assessment process.
<b>External Quality Assurance</b>	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 / ILM EQA.
<b>Independent Assessor</b>	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).
<b>Internal Quality Assurer</b>	The person appointed by the centre to co-ordinate the assessment process internally.
<b>Invigilator</b>	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.
<b>Learner</b>	A person who is registered to undertake learning.

<b>When we say...</b>	<b>It means...</b>
<b>Moderation</b>	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.
<b>Moderator</b>	External examiner appointed by City & Guilds / ILM to review centre marking of internally marked assessments
<b>National Occupational Standards</b>	The standards of occupational competence developed by a Standards Setting Council (SSC) and approved by the regulatory authorities.
<b>Qualification</b>	An award made by an awarding organisation for demonstration of achievement or competence, based on learning outcomes and assessment criteria.
<b>Qualification Approval Risk Status</b>	The status given to a centre based upon monitoring and quality assurance activities undertaken by City & Guilds / ILM 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).
<b>Quality Co-ordinator</b>	The key point of contact, for all matters related to centre and qualification Approvals and quality assurance.
<b>Regulator</b>	An organisation that regulates examinations, assessments, and qualifications in the UK and Republic of Ireland against published regulatory criteria. This includes approving/recognising awarding organisations.
<b>Tutors</b>	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

#### Our Quality teams

Our dedicated quality teams are based across our regional offices and support our customers with all aspects of quality assurance.

If you're not sure which team looks after your centre, don't worry as one of our coordinators will point you to the right place.

<b>Contact our Quality teams</b>	
Our dedicated quality teams are based across our regional offices and support our customers with all aspects of quality assurance. If you're not sure which team looks after your centre, don't worry as one of our coordinators will point you to the right place.	
T: 0300 303 5352 (Freephone)	
Quality team 1	E: Qualityteam1@cityandguilds.com
Quality team 2	E: Qualityteam2@cityandguilds.com
Quality team 3	E: Qualityteam3@cityandguilds.com
Quality team 4	E: Qualityteam4@cityandguilds.com
Nations & Republic of Ireland	E: nations@cityandguilds.com
Customers who are approved for ILM qualifications only should contact the ILM Quality team. Centres who have approval for ILM and City & Guilds qualifications should contact their relevant team listed above.	
ILM Quality team	E: QualityILM@i-l-m.com

### Specialist Quality teams

We also have a range of specialist Quality teams available to support our customers.

T: 0300 303 5352 (Freephone)

Land Based  
Services (NPTC)

E: QAsupport@cityandguilds.com

Technical  
Qualifications

E: moderationsupport@cityandguilds.com

Prisons & MoJ

E: prisons@cityandguilds.com

High Priority  
Qualifications

E: highpriorityqualifications@cityandguilds.com

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