

Level 2 and Level 3 Diplomas in Process Technology (0610)



Guidance for centre devised assessments

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1 Introduction

In some cases a need or benefit is identified for unit assessments to be set locally at the centre. This may be in response to varying local contexts over which the unit learning outcomes can be demonstrated and assessed, or where a unit is so specialist in nature there is little benefit to the standardised assessment approach offered by externally set assessments. This guidance is designed to support centres in operating such assessments so that they are as valid, reliable and fit for purpose as possible.

The materials provided allow a standard approach for all such assessments across centres, providing a clear process to support the centre's assessment developers and offering candidates a similar assessment experience no matter where they are in the country, as well as the benefit of local flexibility.

This guidance is laid out in the sequence of development and delivery of the assessment:

1 The materials

It begins with an overview of the structure of the materials and how they fit together to make a full assessment pack.

2 Assessment and grading criteria

An explanation of the importance of getting the assessment and grading criteria right, along with guidance on how to use the generic grading criteria and unit assessment criteria.

3 Writing assessment tasks

Guidance on how to go about devising valid and reliable tasks that provide appropriate opportunity for all candidates to demonstrate the unit learning outcomes. Sign off of the assessments for use, initially by the assessor then the IQA with sampling by the EV.

4 Delivering assessments

Preparing the candidates and delivering the assessments, including assessment conditions, measures for preventing plagiarism, scheduling assessments and dealing with late submissions. Also guidance on using the forms during marking and grading, standardising marking, making assessment judgements, and providing feedback.

5 Appendix - Assessment conditions and controls

2 Materials

The consistency of the assessments and quality assurance across centres is supported through the use of the following standard forms (available for download from the 0610 Process Technology webpage on the City & Guilds website) for the development and operation of the assessments.

Assessment development forms:

- **Assessment tasks (AD1)** – the assessment task form allows tasks to be written in a standard format, showing mapping to the units and generic grading criteria, and incorporating guidance to candidates about the assessment deadline, assessment conditions, avoiding plagiarism and labelling evidence.
- **Assessment grading criteria (AD2)** – This form is used to lay out the assessment criteria and grading criteria that will be used to mark each candidate's evidence against for each task.
- **Assessment sign off form (AD3)** – This form is used by the IQA to review the assessments and grading criteria. They are reviewed for validity and accessibility of the tasks and ensure that the correct assessment and grading criteria have been transferred into the grading criteria form and appropriate contextualisation where appropriate. The assessment tasks and grading criteria must not be used until they have been signed off.

Generic forms:

- **Evidence recording form (GF1)** – this form is used by the assessor during an observation of performance to make notes that will support decision making, and act as candidate evidence for quality assurance. Where appropriate, centres may devise more detailed checklists which are specific to the tasks.
- **Assessment front sheets** – these are used as front sheets for the candidates to hand their work in incorporating candidate details and a plagiarism statement.

There are two versions of this form:

- **The assessment unit front and mark sheet (GF2)** where the assessment tasks for the unit are all handed in together for marking and so it also combines the front sheet and the mark sheet on which the candidate's overall grade for the whole assessment is calculated.
- **The assessment task front sheet (GF3)** is used where an individual task is handed in and marked separately and then it is used with the separate assessment unit mark sheet (GF4).
- **Assessment unit mark sheet (GF4)** – This brings together the separate task grades into the final assessment grade for the unit.
- **Assessment feedback and action plan form (GF5)** – this may be used to provide feedback to the candidate and allow for an action plan to be drawn up.

- **Qualification assessment tracking form (GF6)** – this may be used by the candidate to log the assessments they need to do to complete the qualification, along with hand in dates. It is not mandatory.
- **Group assessment tracking form (GF7)** – this form may be used to help the assessor keep track on the candidates as a group as the progress through the assessments for a qualification. It is not mandatory.

3 Assessment and grading criteria

Key point: the minimum evidence for pass is described by the assessment criteria of the unit, so where merit and distinction grades are used these must reflect a standard of performance of the learning outcomes which goes beyond the minimum for pass.

For Level 2 and Level 3 Diplomas in Process Technology (0610), all assessments are classified as either pass or fail only.

For the candidate's result to be valid, the grading criteria must reflect the standard expected by the end users. It is therefore good practice to begin writing an assessment task by considering the 'answer' or outcome that is expected for each unit grade. The task is then more likely to generate the correct evidence.

The standard for pass is always the standard that is represented by the assessment criteria in the unit.

The assessment tasks that you devise must allow the candidates the opportunity to demonstrate evidence of both the assessment criteria and any grading criteria. For this reason it is important to begin with the unit assessment criteria and level descriptors as a source for the task development.

4 Writing assessment tasks

Key points:

- Assessments must be accessible to all candidates who are ready for assessment.
- The candidates should be clear about what they need to do without additional support.
- The content and complexity of the task should reflect the unit learning outcomes and the level descriptors.
- Only evidence relating directly to the unit learning outcomes must be included in assessment and grading criteria.
- All assessments must be internally reviewed and signed off before use.

Tasks should be drafted which are meaningful representations of real work tasks of a complexity that is in line with the level descriptors. This makes the assessments highly valid in their assessment of the workplace potential of the candidates. Alternatively a brief context for the tasks can be provided to allow candidate to understand how the skills, knowledge or understanding might relate to the real workplace. While validity is important it is also important to balance this with the availability of sufficient resources and managing costs.

The candidate must know what is expected of them through reading the task. It is therefore very important that there are not any barriers in how the task is expressed, eg unlikely or unusual tasks, unfamiliar language, difficult sentence structures, contexts or complexities that would require skills or even mind sets different to or beyond the requirements of the unit.

It is natural when writing formal assessments to introduce formal language, hoping to impress on the candidate the formality of the task. However, this can make understanding the task harder for some candidates, putting them at an unfair disadvantage so straightforward easy to understand language should be used.

The task should be written on the assessment tasks (AD1) form. The composition table should be used to capture how the task maps to the unit assessment criteria and demonstrate how full coverage is achieved.

Assessments covering more than one unit are feasible as long as sufficient evidence can be produced that will meet the ACs for all of the units, and as long as the grade for each unit can be separately identified. In other words, the task can be presented as a single entity but the evidence relating to each unit must be identified and marked separately. The products of one task (eg covering one unit) can be used as a resource for other tasks as long as the candidate will not be disadvantaged in doing so. For example: in a journalism qualification, an article produced by the candidate for one unit assessment could be used as the basis for an assessment on using publishing software to lay out a magazine article, as long as the attributes of the article (eg. word count) is sufficient for the candidate to achieve the publishing assessment – if not, then a piece of text would need be provided as a resource for the assessment.

Assessment conditions

Assessment conditions should be inserted into the assessment task (AD1) form so it is ready for use, including information on location, supervision requirements and how work is to be kept secure. The assessment is likely to be used on more than one occasion, so it is important to record all of this information so that when it is reused the candidates have the same experience every time and are treated equally fairly. It also means that all assessors in the centre can easily apply the same conditions every time.

The assessment conditions are most important in helping the assessor to be sure that the candidate's work is their own. For example exam conditions very efficiently allow large numbers of candidates to be examined all at once with very few invigilators but give candidates little opportunity to cheat

The sorts of conditions that will be appropriate will therefore depend on such things as:

- the nature of the task
- numbers of candidates to observe
- whether the task needs to be directly observed or whether the end product provides sufficient evidence
- how many candidates can be observed at any one time without compromising either the ability to record sufficient evidence, nor introducing opportunity for cheating

Other considerations will be around the location:

- whether a particular type of workshop/workplace environment is required, or simply a normal classroom environment

Security of work is important:

- large pieces eg some artwork would most probably need to be stored in a locked room
- electronic work should be held securely by the tutor between sessions.

These precautions ensure that there is no opportunity for the candidate to introduce work that is not their own, but also to ensure that work is kept safe from damage.

Homework

Candidates should not normally produce evidence at home or without some degree of supervision, unless suitable measures for detecting plagiarism are put in place (eg the candidate must be able to answer detailed and probing questions about their work and methods or provide evidence of planning, developments/drafts of work or written reflections on their methods) These measures are likely to be time consuming for the assessor, requiring one to one contact, so should only be used when there is a clear benefit to do so which outweighs the risks. Research in preparation for supervised writing up of a task may however be completed without supervision. Both candidates and assessors are required to sign statements that the work produced is the candidate's own work.

Guides for tutors and candidates about how to avoid and detect plagiarism and check for authenticity can be found on the Ofqual website.

Checking authenticity

Since short answer and MC questions do not provide sufficient textual evidence (hand writing/ writing style) or evidence of original thought, they are **never** suitable as homework. Only substantial texts or original work can be considered for unsupervised completion as this can be quality assured more readily.

Further details around conditions and methods of controlling them are to be found in the Appendix.

Self assess the assessment

Self assess the assessment using the assessment sign off sheet (AD3) using the assessment sign off sheet (AD3). This is a final check to ensure that the assessment is ready for internal and/or external sign off. The key questions are designed to check that the assessment is fit for purpose, and accessible for all 'ready for assessment' candidates.

Internal quality assurance and sign off

The assessment is then judged internally through the centre's quality assurance mechanisms to be fit for purpose. All assessments must be signed off by an authorised IQA as ready for use after checking against the checklist. Any changes necessary are recorded as remedial actions, and once these actions are completed appropriately the assessment can be signed off as ready for use.

External quality assurance and sign off

A sample of the assessments, grading criteria forms and sign off forms will be quality assured by the EV to ensure that appropriate tasks and standards are being set across all centres. The EV will need to be confident that the IQA is sufficiently experienced before the IQA can be the sole sign off for assessments.

Record keeping

Once the assessment and grading criteria have been signed off, a copy of the assessment and grading criteria along with the sign off sheet must be kept. This may be electronically where electronic signatures have been used. Whenever the assessment is used in future, it must be clear that it is the final version which has been signed off that is being used.

Validity

The biggest threats to validity are insufficient evidence that the learning outcomes have been met, and giving credit for performance that is not true evidence of the intended learning outcome.

5 Delivering assessments

Mandatory forms

- assessment tasks (AD1) (signed off)
- assessment grading criteria (AD2) (signed off)
- assessment front sheets (GF2/3) OR
- assessment evidence recording sheet (GF1) (or centre devised alternative)
- assessment mark sheet (GF2/4) (unit or task)

Additional forms

- Qualification assessment tracking form (GF6) (for candidates)
- Group assessment tracking form (GF7) (for assessors)
- assessment feedback and action plan form (GF5)

The tracking forms provided are not mandatory, but can help to monitor progress or planning for the assessor or candidate.

The Qualification assessment tracking form (GF6) allows the candidate to keep a note of all the assessments they will need to achieve for the qualification and can make a note, when they are known, the deadline dates for each.

The group assessment tracking form (GF7) is intended to help the assessor monitor when each candidate in a group has achieved each assessment.

These forms may be adapted as necessary or replaced by the centre's own forms or monitoring systems. Assessments or tasks which require the candidate to produce paper based, or physical products as evidence (rather than performance) should accompany these with an assessment front sheet (GF2 or 3). This helps identify the work if it is carried out over time, and requires the candidate to sign that the work is all their own.

Where the assessment is made up of tasks which are all submitted together for marking, a single, combined front sheet and mark sheet, the assessment unit front and mark sheet (GF2) is used. Where individual tasks are handed in separately, use the assessment task front sheet (GF3).

Where the evidence is observation of performance only (ie where the evidence is transitory and cannot be retained) the evidence is recorded on the assessment evidence recording form (GF1), and so a front sheet is not required.

Introducing the assessment to candidates

Candidates should be provided with the appropriate, signed off assessment tasks (AD1) and the appropriate front sheet (GF2/3) where necessary. All arrangements for the assessments must be made clear including when and where the assessment will take place or the deadline date for the completion of the tasks. The conditions under which they must work (both for assessment purposes and to meet their duties regarding health and safety requirements) and the requirement for them to produce authentic evidence without plagiarism/cheating must be made clear.

Meeting deadlines

It is expected that where a candidate has difficulty in meeting the deadline, and they have good reason, that alternative arrangements can be made, but the centre has the discretion to follow its own policy around dealing with any assessment not completed by the deadline date.

Supervising and supporting candidates during assessment

Candidates must be able to demonstrate the learning outcomes of the unit independently for credit to be awarded. This means that the assessor/supervisor must be careful about what help they provide. A candidate may be given clarification if they are having trouble understanding what they are being asked to do in the assessment, but they must carry out the task themselves. The assessor/supervisor of practical tasks must be able to identify that the candidates are working safely. Any candidate not working safely must be immediately removed from the assessment and should not be entered for assessment again until they can work safely. The assessor/supervisor will also be acting as invigilator making sure there is no opportunity for cheating to take place.

Recording candidate evidence

Candidate evidence must be recorded and retained for quality assurance purposes where possible. Records can be in any format that the verifier will be able to access eg an artefact or product, MS word, video, picture, audio files - when in doubt check with the verifier before assessment takes place (especially if there is any element of desk based quality assurance).

Observing candidates for assessment

Where the evidence of candidate performance is transitory and where a record cannot be kept for quality assurance purposes, a sample of assessor observations must be confirmed by the IQA before the assessor can work alone and written records of the performance must be kept. This should be done using the assessment evidence recording form (GF1). During observation, comments should be recorded which describe the evidence that the candidate has demonstrated the assessment criteria or grading criteria. Where a detailed checklist is devised by the centre for this purpose it should be added to this form. It is expected that while some/most evidence may be predicted and ticked off, there will need to be at least some (particularly evidence for grading) opportunity for written notes directly reflecting the specific candidate's performance.

Assessing candidate evidence against the assessment and grading criteria

For pass/fail tasks or assessments, candidate evidence must be assessed as met or not met against the assessment criteria of the unit. There may be notes to help contextualise the task, but the assessment criteria must always be fully met.

The assessment grading criteria form (AD2) should be used to demonstrate coverage against the criteria for each candidate and retained by the centre. Where there is any ambiguity about the candidate's result, the matter should be referred in the first instance to the IQA and then the EV for support and guidance.

The grade for individual tasks should be recorded on the relevant assessment mark sheet (GF2 or 4), where the separate grades are aggregated into a single grade for the unit. Use either the combined front sheet / marksheet' version - assessment unit front and mark sheet (GF2) or the stand alone Assessment unit mark sheet (GF4) as appropriate.

Quality assurance of the assessment decisions

The assessment decisions should all be sampled and signed off during the internal and external quality assurance processes detailed in: *Providing City& Guilds qualifications*.

Feedback to the candidate

The candidate should be provided with feedback on their performance after the assessment detailing:

- any issues that have resulted in their failure and which need an action plan to support the candidate in their resit and
- any good performance or behaviours that should be maintained for future assessments.

The assessment feedback and action plan form (GF5) may be used for this purpose, or the centre's own feedback forms may be used.

Resits

For assessments of performance or skill, the candidate will often not gain any benefit from having seen the assessment task before (indeed the form of assessment should be well known to all candidates eg the driving test) and in these circumstances, the candidate may resit a failed task or assessment when they are ready. It is however expected that some feedback and reflection, further teaching or practice will be required, so immediate resit is not appropriate. Candidates may not reuse or resubmit work previously submitted on a previous assessment occasion but must start again from scratch, although reuse of ideas or research notes is allowed where these are not themselves being assessed.

Where prior sight of the assessment *would* give the candidate an unfair benefit eg in narrowing their revision to what is in the task, (more often the case for knowledge assessment) then another version of the task should be provided for resitting candidates.

6 Appendix - Assessment conditions and controls

The controls for assessment can be thought of as the rules that ensure that all candidates who take an assessment are being treated fairly, equally and in a manner that ensures their result reflects their true ability as closely as possible in an assessment situation.

There are a number of areas that need to be controlled to ensure a fair and valid assessment. The following table aims to explain these different areas and exemplify the range of controls that can be put in place.

Assessment writers should ensure that the assessments they write are controlled in these areas effectively, fairly and validly for the different assessment tasks they write. Necessary controls for each task should be specified on the assessment task sheet so that the requirements for delivery and assessment are easily available for each session so that the assessment is delivered in the same way on each occasion.

As all tasks and settings are different, standard wording and a full list of solutions has not been provided, but consideration should be given to assisting candidates in understanding what their responsibilities are, and to ensuring that the centre's processes are consistent over time and between assessors.

Authentication of candidate work

This is simply the need to make certain that the work that is assessed is the candidate's own work. After all, a candidate's result will only reflect their ability if it is based on their own work. Candidates are required to sign declarations of authenticity as does the assessor - some methods allow the assessor to be completely confident in signing, but others require more work on the assessor's part - see below.

Control	Best for
Direct observation of performance	Practical skills where the process and dexterity of the candidate needs to be monitored throughout – authenticity is a natural outcome of this method of assessment as the candidates are being closely monitored as part of the assessment.
Exam or test conditions	Efficiently authenticating the assessment of knowledge and understanding of very large candidate groups with the use of only small numbers of invigilators. (for dated external exams the JCQ ICE* document applies unless otherwise stated)
Supervised conditions	Discreet but active supervision of small groups where assessment of application of knowledge and understanding or writing up of research can take place in an environment which can be monitored appropriately - resources may be available and supervision ensures appropriate use - here the supervision is ensuring authenticity and prevention of malpractice rather than assessment of the process so it may be possible to monitor a whole class with a single invigilator - the actual assessment is of the end product and takes place at a later date.

No direct supervision,
Signature of declaration of authentication.

Large/in-depth pieces of work where supervision is impractical and the authenticity of the evidence that is produced can be authenticated in other ways. E.g. recognition of the candidate's written style, oral questioning of the processes used or the sources of ideas, evidence of progression from design to completion. Here in addition to the candidate signing a declaration of authentication, the assessor must use other methods of authentication (eg above) to be confident enough that the candidate's work is their own before they sign the declaration themselves.

Security

This relates to the security of candidate evidence. Candidate evidence needs to be kept secure for two main reasons – to prevent unsupervised access by the candidate or others for the purpose of cheating and also to prevent accidental or malicious damage to candidate work.

Control	Best for
Direct observation of performance	Here the candidate performance is fleeting and must be assessed immediately and therefore cannot itself be kept secure – although some record of the performance should be made as evidence for quality assurance purposes and this must be kept secure.
Locked cupboard/cabin etc	Written work, diaries etc Memory sticks etc Small pieces of craft work etc. To be handed in after each session for safe keeping.
Locked classroom/workshop etc	Large pieces of work or where work has to dry overnight etc Should be locked between sessions and, if the space is used for other classes, the work should not be left unsupervised.
Candidate responsibility	Work done under 'no direct supervision' – it is the candidate's responsibility to keep the work safe.

Accessibility and fairness

This relates to the candidate being provided with fair conditions to demonstrate their ability.

Control	Notes
Support and guidance (including for candidates with special requirements)	<p>All assessments rely on the assessment of the candidate's own work. However, where the candidate is having difficulty in understanding the assessment (eg has concerns over their interpretation of the task) the assessor may provide guidance. The nature of guidance provided and feedback given should be recorded, particularly where this affects grading decisions.</p> <p>Where the candidate has special requirements that do not restrict them from achieving the qualification/unit outcomes, but requires them to use some form of mechanical/ electronic support, this is allowed as long as the candidate is then able to act independently.</p> <p>Where the candidate has a special requirement that restricts their access to the assessment task, but not to carrying out the task, then the usual guidance applies (see access to assessment documentation). Any guidance that blurs the clarity of what is the candidate's own work or thinking is not allowed.</p>
Specification of location and equipment	<p>While the candidates will always need to know exactly where the assessment is to take place and when, this is more intended to specify the type of location (workshop, classroom etc) that will be suitable for the assessment. Specifying this allows for consistency year on year, and can aid planning.</p> <p>The key is that the candidate must be able to demonstrate their abilities in relation to the assessment criteria – for instance if a candidate must be able to 'select equipment', then there must be more equipment to select from than simply that necessary for the task.</p>
Time constraints	<p>Most assessments will need to have some limits to the time available.</p> <p>The time period allowed may be based on practicalities such as scheduling marking during the required period, but the time available must always be sufficient for candidates to tackle the task fairly and candidates will be able to negotiate extra time in appropriate circumstances.</p>

(Contd.)

However, for some tasks, the assessment criteria will indicate that meeting time constraints is an important and assessed aspect. Where this is the case, this must be clear to candidates and specified within the task and grading indicators.

Word limits

As above - word limits may be used to limit candidate's effort to a suitable size to allow efficient marking while allowing candidates the freedom to answer fully. These will not normally be enforced, at least for a pass grade. However again this may be an assessed aspect (eg in some journalistic tasks), and again this must be clear to candidates and specified within the task and grading indicators.

Resitting and resubmission of work

Candidates who fail an assessment are normally required to redo the whole task they have failed, and not simply revise and resubmit their original work. Where this is not the case this will be specified in the unit specific guidance.
Where a candidate resits a task, they may not be eligible for higher grades. The decision on whether this is appropriate depends on the purpose of grading (eg as a motivator or as information for future employers) and so will depend on the qualification. Therefore this will be made clear in the unit specific guidance.

*

JCQ Instructions for conducting examinations (ICE) – Is updated annually, and is available from the JCQ website www.jcq.org.uk

7 Useful contacts

UK learners
General qualification information
T: +44 (0)844 543 0033
E: learnersupport@cityandguilds.com

International learners
 General qualification information
 T: +44 (0)844 543 0033
 F: +44 (0)20 7294 2413
 E: **intcg@cityandguilds.com**

Centres
 Exam entries, Registrations/enrolment, Certificates, Invoices, Missing or late exam materials, Nominal roll reports, Results
 T: +44 (0)844 543 0000
 F: +44 (0)20 7294 2413
 E: **centresupport@cityandguilds.com**

Single subject qualifications
 Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change
 T: +44 (0)844 543 0000
 F: +44 (0)20 7294 2413
 F: +44 (0)20 7294 2404 (BB forms)
 E: **singlesubjects@cityandguilds.com**

International awards
 Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports
 T: +44 (0)844 543 0000
 F: +44 (0)20 7294 2413
 E: **intops@cityandguilds.com**

Walled Garden
 Re-issue of password or username, Technical problems, Entries, Results, GOLLA, Navigation, User/menu option, Problems
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