

Providing City & Guilds qualifications

A guide to centre and qualification approval



About City & Guilds

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

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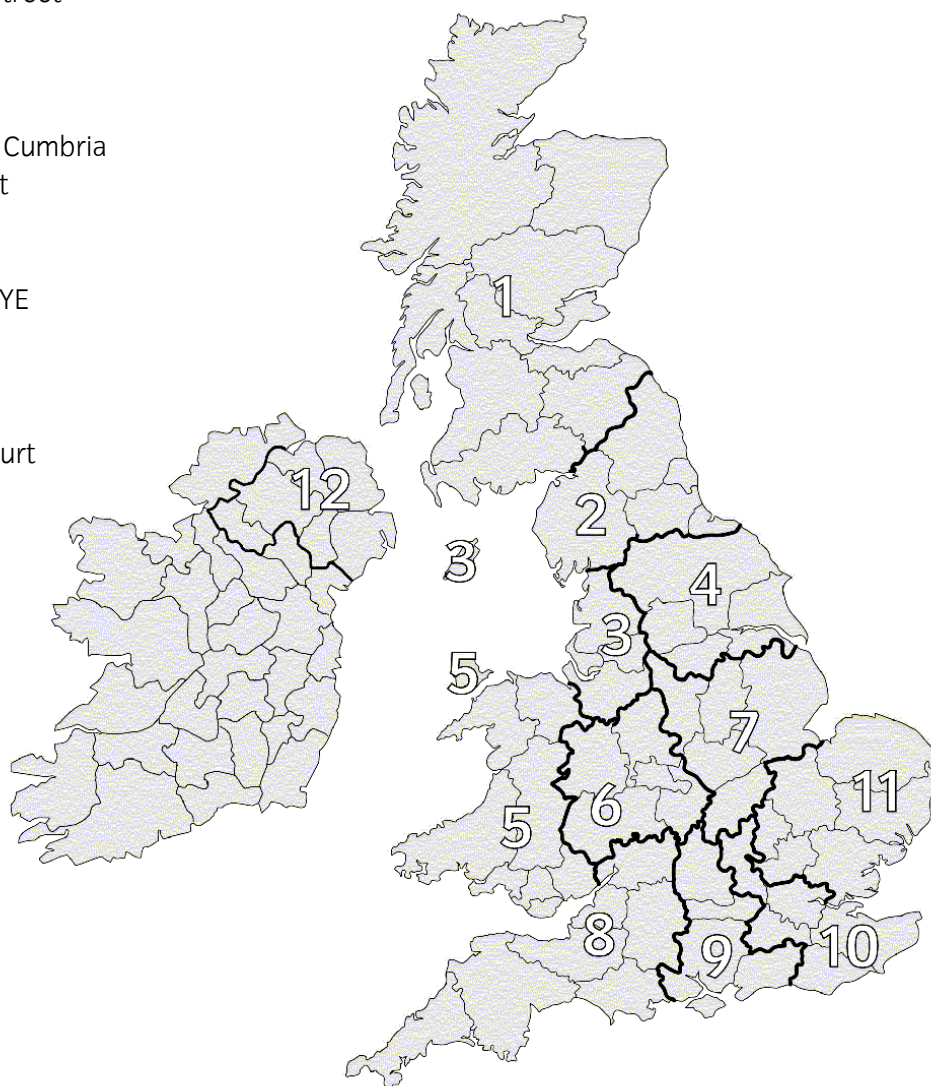
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New centre's statement of intent

Application for centre approval

Application for qualification approval

Approval application update

Credit application

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1 City & Guilds customer charter

Our mission

'We will become a world-leading provider of qualifications and learning support for work and adult life.'

Our values:

- acting with integrity
- being innovative
- engaging with others
- striving for excellence.

City & Guilds is committed to achieving the service standards detailed below.

Communicating with our customers

We will:

- listen to our customers' requests and respond positively to them
- answer telephone calls courteously, promptly and knowledgeably
- aim to resolve your enquiries to your satisfaction the first time they are raised with us.

You will receive:

- an acknowledgement of your correspondence (letters and faxes, including complaints) within four working days of receipt
- an answer to your correspondence (letters and faxes) within 12 working days of receipt
- an immediate acknowledgement of your enquiry, if sent to one of our general enquiry email addresses, and an answer within two working days of receipt.

Your complaint will be resolved, or you will receive an outlined course of action, within 12 working days of receipt.

Processing your orders and requests

You should receive:

- an approval decision, in relation to UK centre and qualification approval applications, within 30 working days of receipt
- a confirmation of your order (eg candidates' registrations or results) within seven working days of receipt
- results and/or certificates within seven working days of receipt of a result entry
- results for examiner-marked papers within 42 working days of the examination taking place and within 27 working days for stand-alone multiple-choice papers
- an appeals decision for 'appeals against results' within 32 working days.

You should be able to view:

- results for tests taken online (GOLA), via the Walled Garden, within four working days of the results being uploaded from the testing system
- candidates' registrations and results orders, placed on the Walled Garden, the next working day.

Despatching publications and question papers

You should receive:

your orders for publications, including logbooks, within seven working days of receipt of the order (if there is a delay in the supply of publications, you will be notified within the same time period)

question papers at least 10 working days before the examination, for entries received by the published closing date.

Please note

This Customer Charter has been developed for City & Guilds' approved centres in the UK and overseas. The timescales quoted in the Customer Charter allow for a maximum of two working days postage period and apply to centres located within the UK. Overseas centres may experience a variation to these timescales.

For printed examination materials, the period from despatch to receipt is also based on two working days, but we commit to using first class post or courier. Printed publications orders are either sent by letter post or by courier, depending upon the size of the order. For qualifications comprising several components or units, full certificates are issued once the final qualifying results have been received. Key Skills results issue dates are set by the external regulator and results may not be provided within the timescales outlined above. Any appeal against a result must be received by City & Guilds within 60 working days of the result issue.

2 Introduction

2.1 About this document

This document has been designed to help organisations apply for centre approval and/or approval for qualifications offered through City & Guilds in the UK, including National and Scottish Vocational Qualifications (N/SVQs).

International organisations wishing to offer City & Guilds qualifications should contact City & Guilds International on (00)44 (0)20 7294 3505.

It describes the assessment and examination roles and responsibilities needed within an organisation, explains the approval process and provides the application forms. You will also find information on what is expected from an organisation once it has become an approved City & Guilds centre.

Additions and/or amendments to this publication will be available on the City & Guilds website www.cityandguilds.com as necessary.

Any questions?

If you have any queries about anything in Providing City & Guilds qualifications, please contact your regional/national office in the first instance. Details can be found on the map at the beginning of this document.

2.2 Who may become an approved centre?

City & Guilds qualifications may only be offered by approved organisations, called centres, which may be large or small companies, employers, schools, colleges or training organisations. A centre may be:

- a single agency, comprising either a single site or a 'controlling' agency with one or more associated sites, called satellites, which may include franchise agreements
- a consortium/group of agencies working in partnership.

If an organisation comprises a group of agencies resources may be combined to provide assessment and different component parts may be assessed in different locations. Under this arrangement, the 'group' will be the centre. They will be allocated one centre number, use one address (which should be given on Form CAP – Centre Approval Form) and have one central system for the purposes of management, administration, communication and quality assurance. The centre should agree and formalise these arrangements with appropriate managers within the group and supply full details at the time of the approval visit.

The approval criteria will apply equally to satellite centres. The following should be considered before entering into joint assessment arrangements:

- verification and assessment staff at satellite sites must be regarded as centre staff in the interpretation of all City & Guilds regulations
- centres must be prepared to assume full responsibility for ensuring the quality of the assessment process across all satellite sites
- if one of the satellite sites fails to comply with the approval criteria, the approved status of the centre as a whole may be affected.

It is essential that centres fully understand the roles of those involved in the assessment and examination procedures. You will find full details in Section 3.

N/SVQs are employment linked and therefore all centres must have established a structure that involves candidate access to an actual work environment.

Assessment of N/SVQs is independent of any set training programme. However training and education will form an important aspect of a candidate's preparation for assessment.

Centres are encouraged to create collaborative arrangements involving trainers and operational managers. This is to ensure that the assessment process is integrated with workforce management activity and the resources of education and training providers.

2.3 Centre and qualification approval

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

Centre approval

Centre approval must be obtained by organisations not already approved to offer any City & Guilds qualifications, but who wish to become a City & Guilds assessment centre.

Application procedures for centre approval appear in Section 4, together with centre approval criteria and examples of supporting evidence.

Please submit Form CAP only if your organisation is not already approved to offer any City & Guilds qualifications.

Qualification approval

Approval must be obtained by

- new centres wishing to offer City & Guilds qualifications for the first time and applying for centre approval
- existing City & Guilds centres wishing to extend the range of qualifications they offer.

Application procedures for qualification approval appear in Section 5, together with qualification approval criteria and examples of supporting evidence.

2.4 Mandatory Internet access - Walled Garden/EDI (Electronic data Interchange)

All newly approved City & Guilds centres are required to have access to the internet in order to meet the mandatory requirement of making transactions using the City & Guilds online service - the Walled Garden / EDI. This is a quick and easy way to work with City & Guilds and has been developed especially to enable City & Guilds centres to carry out a range of day-to-day functions quickly and efficiently online.

If any users leave the centre or no longer require access, as with any centre changes, a Form APU must be completed (which can be found towards the end of this document).

For further information please contact Online Services on 020 7294 2840 or **email online@cityandguilds.com**

2.5 Other information

A description of the roles of the people involved in the assessment/examination process is given in Section 3.

City & Guilds procedures for external verification visits are outlined in Sections 4 and 5. External verifiers provide centres with information, advice and support and enable us to ensure that centres comply with approval criteria.

City & Guilds always aim to establish and maintain excellent working relationships with our centres (refer to our Customer charter at the front of this document). However, on rare occasions, disputes over approval status and other matters may arise. Where these occur, appeals procedures should be followed. These are outlined in Section 11.

Section 15 contains a list of questions that are asked most frequently by both approved centres and those centres seeking approval. Although not an exhaustive list, we hope that you will find this a useful resource and make it available to colleagues.

Finally, attention is drawn to Section 8, which includes clarification of the '10-week rule' for N/SVQs. All appropriate staff within centres must be aware of this ruling.

2.6 Advisory visits

Centres may request an advisory visit at any time after approval has been granted. A visit may also be recommended by us as an optional service. We charge a fee for advisory visits. Details are available from City & Guilds regional/national office.

The purpose of an advisory visit can be to:

- provide general advice on meeting centre/qualification approval criteria (see Sections 4 and 5)
- identify specific areas of centre/qualification operation that need further attention
- provide opportunities for centre staff to ask questions and resolve queries.

Centres can also request an advisory visit when an external verification visit might be inappropriate, for example where:

- there are currently no candidates for a particular qualification
- learners have not yet been registered for a particular qualification
- candidates are not yet undertaking summative assessments.

Please note that a charge is made for each advisory visit. For further information, centres should contact their City & Guilds regional/national office (refer to map at the front of this document).

3 Assessment, verification and examination roles

This section gives details of the requirements and responsibilities of each role involved in the assessment and examination process. Centres will need to identify members of staff to fill each of the centre roles described below.

Candidates

Candidates are those individuals who are registered with City & Guilds and working towards a full or part qualification at an approved City & Guilds assessment centre. Depending on the nature of the qualification, candidates may be involved in competence-based assessment, written examinations, online testing or mixed assessment activities.

Competence-based and mixed assessment activities

Candidates involved in competence-based and/or mixed assessment activities should be made aware that they are responsible for:

- confirming to assessors that they understand the standards/syllabus content
- confirming to assessors that they understand the relationship between the standards/syllabus, and the tasks they need to perform to demonstrate competence and/or related knowledge
- discussing and agreeing assessment plans with their assessors
- identifying possible sources of evidence
- producing evidence of prior achievement (where applicable) and of current competence
- providing a written declaration that their evidence is authentic (N/SVQs)
- maintaining and presenting all documentary evidence in a well organised way
- ensuring that the evidence is adequate to present for assessment
- making themselves available for assessment, to discuss their evidence and to participate in meaningful review and feedback.

Written examinations/online testing (GOLA)

Candidates involved in formal written or online examinations should be made aware that they are responsible for:

- preparing themselves in line with the knowledge requirements set out in the standards/syllabus
- presenting themselves for examination at the required time on the required date
- conducting themselves during the examination in accordance with the JCQ Instructions for conducting examinations (ICE) document (which can be found at www.cityandguilds.com).

Centre roles

3.1 Quality assurance co-ordinator (QAC)

The quality assurance co-ordinator (QAC) is the person responsible for ensuring that the management, administrative and quality assurance systems for all City & Guilds qualifications are properly maintained throughout the centre and that communications between City & Guilds and the centre are efficiently dealt with. In order to ensure this, the QAC should have a secure email address to which correspondence can be sent. The QAC must inform City & Guilds immediately if their address changes.

The person undertaking this role will need to:

- have an appropriate background in assessment management, administration and quality assurance
- possess the necessary authority and time to ensure that management, administrative, assessment and internal verification/qualification co-ordination procedures are implemented correctly and consistently across the centre as a whole
- have regular contact with the internal verifiers/internal verifier co-ordinators/qualification co-ordinators whose work s/he co-ordinates
- liaise closely with other staff members to obtain, and provide external verifiers with, detailed information on the overall operation of the centre
- co-ordinate visit arrangements for external verifiers. For qualification approval, this responsibility may be delegated to the internal verifier/internal verifier co-ordinator /qualification co-ordinator.

In addition, the QAC is responsible for ensuring that:

- registrations/entries are sent to City & Guilds in accordance with specified procedures
- registrations/entries have been received from City & Guilds and candidate enrolment numbers are checked
- City & Guilds invoices are paid within agreed payment terms
- only suitable staff are used in the assessment and internal verification (quality assurance) processes, in accordance with specified vocational experience/qualification requirements
- staff involved in training, assessment and internal verification/qualification co-ordination have access to and regularly participate in activities designed to promote continuous improvement
- sufficient and effective support is available for confirming the decisions of assessors and internal verifiers not holding the appropriate assessor/internal verifier qualifications as approved and specified by the regulatory authorities
- assessors and internal verifiers/qualification co-ordinators are able to apply equal opportunity principles to assessment
- assessors and internal verifiers/qualification co-ordinators are familiar with the qualifications they are assessing or verifying with a knowledge base sufficient to enable them to interpret the knowledge requirements, values and documentation
- assessors and internal verifiers/qualification co-ordinators are familiar with the recording systems, documentation and procedures for assessment and internal verification/quality assurance
- assessors and internal verifiers are prepared for their role, supported and allowed sufficient time
- any action plans agreed between the external verifier and the centre are met within the appropriate timescale
- proof of candidates' identities is obtained for those qualifications where this is required
- all those involved are notified of assessment dates well in advance
- security arrangements for written papers, coursework assessments, project and practical work are in accordance with regulations (where applicable)
- administration of written examinations, online testing and assessments are in accordance with regulations
- candidates' projects and prepared practical work are forwarded on time (where applicable)
- appropriate records, results or other evidence of achievement are released to other centres or candidates (as applicable) in cases where candidates transfer to new centres
- certificates and certificates of unit credit received from City & Guilds are securely stored prior to issue to candidates
- results, certificates, medals or prizes are properly issued to candidates at the centre

- all general correspondence between City & Guilds and the centre is disseminated promptly to all relevant people within the centre (the QAC acting as the point of contact for such correspondence).

3.2 Internal verifier co-ordinator (IVC)

An internal verifier co-ordinator (IVC) is recommended for each qualification where more than one internal verifier is involved. This arrangement applies to:

- N/SVQs
- vocational qualifications (non-N/SVQs) which specify the need for internal verifiers.

For N/SVQs, the IVC (who may also be an internal verifier), must hold the appropriate internal verifier qualifications as approved and specified by the regulatory authorities within 18 months of starting their role.

The IVC will be responsible for:

- liaising with the QAC
- maintaining regular contact with the internal verifiers whose work s/he co-ordinates
- ensuring that internal verification is carried out efficiently and consistently across the qualification(s) with which s/he is involved.

3.3 Internal verifier/qualification co-ordinator (IV/QC)

Internal verifiers/qualification co-ordinators (IVs/QCs) monitor the work of all assessors involved with a particular qualification to ensure they are applying the standards/syllabus consistently throughout assessment activities. Although the roles are similar, the scope of responsibility will vary according to the type of assessment system in which they are involved (refer to relevant qualification documentation).

As a general guide:

- internal verification is the quality assurance function associated with N/SVQs
- vocational qualifications (VRQs) assessed by competence-based/practical activities and documentary evidence
- qualification co-ordination is usually carried out in the context of vocational qualifications (non-N/SVQs) which incorporate mixed methods of assessment.

IVs/QCs will need to have, and maintain, an appropriate level of occupational competence (refer to relevant qualification documentation).

For N/SVQs, IVs/QCs must hold the appropriate internal verifier qualifications as approved and specified by the regulatory authorities within 18 months of starting their role.

Two or more of the roles carried out within centres can be undertaken by the same person. However, internal verifiers who are also acting as assessors cannot internally verify their own assessments.

IVs/QCs are responsible for:

- ensuring that assessors follow the assessment guidance provided
- advising and supporting assessors to assist them in interpreting and applying the standards/syllabus correctly and consistently
- regularly sampling assessment activities, methods and records to monitor consistency of assessment decisions as specified by qualification documentation
- providing assessors with prompt, accurate and constructive feedback on their assessment decisions
- undertaking an active role in raising issues of good practice in assessment
- ensuring that equal opportunities and anti-discriminatory practices are upheld in the assessment process

- liaising with other staff members and the external verifier to implement the requirements of the assessment system
- ensuring that all candidates' achievement records and centre documentation are completed in accordance with requirements
- countersigning appropriate assessment documentation
- ensuring assessors have opportunities for updating and developing their vocational and professional competence
- supporting, countersigning and dating assessment and verification judgements by assessors and internal verifiers not holding the appropriate assessor/internal verifier qualifications as approved and specified by the regulatory authorities.

Note: if the IV countersigns another person's assessments of a candidate's work, that IV cannot then act in the role as IV for that candidate.

3.4 Assessor

The primary role of assessors is to assess candidates' performance and/or related knowledge in a range of tasks and to ensure that the competence/knowledge demonstrated meets the requirements of the standards/syllabus. Assessors will therefore need to have occupational expertise in the competences/syllabus areas to be assessed. Assessors will be expected to maintain their expertise by being involved in continuous professional development activities.

For N/SVQs, assessors must hold appropriate assessor qualifications as approved and specified by the regulatory authorities within 18 months of commencing their role. Assessors not holding the appropriate qualifications must always have their assessment decisions checked and countersigned by a qualified assessor.

Assessors are responsible for:

- making themselves regularly available to candidates
- ensuring that each candidate is aware of his/her responsibility in the collection and presentation of evidence
- agreeing and recording assessment plans with each candidate
- fully briefing candidates on the assessment process
- following assessment guidance provided by City & Guilds and the centre
- observing candidates' performance in the workplace and/or in simulated situations, and/or conducting other forms of assessment in accordance with the qualification requirements
- ensuring that assessment of performance by observation is unobtrusive
- judging the evidence and recording assessment decisions against the standards/syllabus
- providing candidates with prompt, accurate and constructive feedback
- managing the system of assessment from assessment planning through to making and recording assessment decisions
- assessing evidence of candidate competence against the national standards of occupational competence within the qualification
- ensuring validity, authenticity, currency and sufficiency of evidence produced by candidates
- maintaining accurate and verifiable candidate assessment and achievement records
- confirming that candidates have demonstrated competence/knowledge and have completed the required documentation
- agreeing new assessment plans with candidates where further evidence is required
- making themselves available for discussion with the internal verifier/qualification co-ordinator and/or external verifier
- demonstrating commitment to anti-discriminatory practice and equal opportunities

- ensuring that any member of the public (clients/service users) involved in the assessment gives informed consent, especially if there is any risk of intrusion into areas of privacy and/or confidentiality
- ensuring maintenance of confidentiality for sensitive information.

3.5 Peripatetic assessor

Wherever possible, candidates should have access to a qualified assessor who is familiar with the candidates' work and their work setting. This is likely to be most fully met by the use of work-based assessors including those who line manage or supervise the candidate.

The involvement of the manager/supervisor as work-based assessor strengthens the linkage of assessment processes to supervision and performance appraisal as well as the evaluation and development of services.

However, City & Guilds accepts that there is a need for peripatetic assessment in order to provide the best possible access to assessment for candidates regardless of their particular circumstances or work settings.

The term 'peripatetic assessment' mainly applies to those situations where the assessor is not employed in the same workplace as the candidate and is not in a line management relationship with the candidate.

Peripatetic assessment is most frequently used where:

- candidates work in isolated, very small or dispersed settings
- there are insufficient numbers of qualified assessors in a candidate's workplace
- training agencies place and support students/trainees in work place settings in order to gain N/SVQs.

The increased take-up, use and influence of N/SVQs has led to a greater use of peripatetic assessment and peripatetic assessors. In some situations pressure on work-based assessors, in terms of their own workloads, mean that candidates' access to assessment is threatened. In some sectors access to N/SVQs has been wholly dependent on the use of peripatetic assessment or full time assessors.

It may be necessary for the approved centre to utilise the services of peripatetic assessors to carry out assessments. Responsibility for the necessary arrangements, administration and quality control will rest with the approved centre. When using peripatetic assessors the same requirements and principles apply as those described for assessors.

It is the centre's responsibility to ensure that:

- all assessments meet the requirements set out in the regulations
- candidates are afforded facilities and consideration on a par with those available to candidates working alongside their assessors
- candidates are not required to take a battery of tests or assessments with the aim of reducing frequency of assessor visits or to accord with timetables of assessment
- the peripatetic assessor is well known to the candidate, who should identify him/her as a supportive influence closely concerned in their progress and development
- the assessor is not viewed, with apprehension, as an 'examiner' from an outside body but must be someone who makes effective links with colleagues, managers and candidates
- candidate choice of the order in which elements of competence addressed/assessed should not be overly influenced by the assessor's preferred pattern of work or those of the assessor's principal employer
- one assessor judges the summative assessment for a single unit of competence.

In all of these instances the assessment centre should have in place effective site agreements and assessment contracts, which ensure that:

- the candidate's manager or other link person is knowledgeable about N/SVQs and is clear about their own role and that of the peripatetic assessor
- the candidate's manager, and others who are affected, know about and agree their contribution to the assessment plan
- the manager and/or link person is in a position to support the candidate
- the manager and/or link person and candidate know how to contact the assessor between planned appointments.

Many centres use peripatetic assessors to support the work-based assessors, by giving the former the overall responsibility for the assessment process (planning, reviewing, completion of documentation etc) while requiring work-based assessors (who hold, or are in the process of achieving the appropriate assessor qualifications) to undertake the direct observation of the candidates' performance.

This process may be seen as combining the benefits of both approaches, but is dependent on clear, planned and recorded communication between all those involved.

3.6 Invigilator

An invigilator is responsible for the conduct and integrity of all examinations, whether written, online or practical. The person(s) undertaking this role will need to:

- be familiar with the content of the JCQ Instructions for conducting examinations (ICE) document (which can be found at www.cityandguilds.com)
- accurately observe the time allotted for the examination
- read out the 'rules to candidates' prior to commencing the examination
- ensure that all examination scripts are collected immediately after the examination and handed to the person responsible for despatching them
- ensure compliance with all other regulations relating to the examination.

Please note that the tutor for a qualification being examined should not be the only invigilator for that examination.

External roles

3.7 External verifier (EV)

External verifiers (EVs) are appointed by City & Guilds to ensure that all assessments undertaken within centres are valid, consistent, sufficient, authentic and meet the requirements of the standards/syllabus. They will have an appropriate level of knowledge, experience and skill for the qualifications in which they are involved.

For N/SVQs, EVs will hold, or obtain within 12 months of commencing their role, appropriate external verifier qualifications as approved and specified by the regulatory authorities. In some instances EVs may have to hold the appropriate assessor and/or internal verifier qualifications.

EVs are responsible for:

- making approval visits/recommendations to confirm that organisations can satisfy the approval criteria
- ensuring that internal verifiers/qualification co-ordinators are undertaking their duties satisfactorily
- monitoring internal quality assurance systems and sampling assessment activities, methods and records
- providing prompt, accurate and constructive feedback to all relevant parties on the operation of centres' assessment systems
- maintaining records of centre visits and making these available for auditing purposes
- promoting best practice

- helping centres to develop internal assessment and evidence evaluation systems that are fair, reliable, accessible and non-discriminatory
- acting as a source of advice and support.

For vocational qualifications (non-N/SVQs), EVs may be responsible for some or all of the duties listed above, depending on the requirements of the qualification.

In the case of Higher Level Qualifications (HLQs), external moderators are appointed in place of EVs. References to EVs in this document also apply to these external moderators unless otherwise specified.

3.8 Setting and marking examiner

Most written examinations are co-ordinated by examiners appointed or approved by City & Guilds. Written examination papers may be either externally or internally set and are marked in accordance with the qualification regulations.

4 Centre approval

4.1 Making an application

As described in Section 1, City & Guilds qualifications may only be offered by approved organisations, called centres, which may be large or small companies, employers, schools, colleges or training organisations.

Applications for centre and one initial qualification approval must be made simultaneously. Centres may also be approved for the purpose of written/online examinations only, or for written/online examinations and the conduct of practical assessment. Assessments should not be undertaken until approval has been granted.

The procedures for becoming an approved City & Guilds centre are summarised below. However, upon completion of the new centre's statement of intent form (which can be found towards the end of this document) your centre will receive a visit from a Quality Systems Consultant, who will discuss the approval procedure and help with the completion of the approval documentation.

4.2 Approval for the purpose of practical assessments and/or written/online examinations

Firstly, a prospective centre will need to contact their City & Guilds regional/national office to indicate interest in becoming an approved City & Guilds centre (see the map of City & Guilds offices on inside of front cover).

City & Guilds regional/national office will then:

- despatch a letter containing additional information and a Statement of Intent
- arrange for a Customer Relationship Manager (CRM) to contact the organisation to discuss the approval package
- where necessary: arrange for a CRM to visit the organisation, discuss the approval documentation and operational queries, and collect the completed Statement of Intent, credit application (Form CAF), copy of the organisation's headed notepaper, and a cheque for the full amount of the approval fee.

Once the City & Guilds regional/national office has processed the credit application form:

- A Quality Systems Consultant (QSC) will undertake a visit and, confirm the suitability of existing systems and advise and support on development areas. They will also be able to provide assistance in completing the approval documentation.

The approval visit

4.3 Prior to the approval visit

- the prospective centre will forward the applications for centre and qualification approval (Forms CAP and QAP – which can be found towards the end of this document) and any additional documentation required (as discussed with the QSC) to the City & Guilds regional/national office
- City & Guilds will send confirmation of receipt and details of the allocated sector-specific external verifier
- the external verifier will contact the prospective centre to agree a date for the approval visit.

4.4 During the approval visit

The external verifier will:

- seek evidence to confirm that the organisation meets or has the potential to meet both the centre and qualification approval criteria
- ensure that systems exist for advising all staff involved with verification and assessment of their roles and responsibilities.

The duration of the visit will vary, depending on the time needed to complete the above. However, it is anticipated that it will be at least half a day.

4.5 At the end of the approval visit

The external verifier will:

- complete a report, which will include an action plan and an approval recommendation
- leave a copy of the report for the head of centre
- forward a copy of the report to the City & Guilds regional/national office.

Note: Further guidance on the role of the EV, and an explanation of the documentation that will be used, is available from City & Guilds regional/national office.

4.6 Notification of approval

Centres will normally be notified of City & Guilds approval decision within two weeks of receipt of the EV report.

There are three possible outcomes of a centre and qualification approval application:

- centre approval and qualification approval have been granted
- centre approval and qualification approval have been withheld subject to action plan
- centre approval and qualification approval have been denied.

Centre and qualification approval granted

When a centre is formally notified that centre and qualification approval have been granted, City & Guilds will:

- recognise the organisation as an approved City & Guilds assessment centre
- issue a certificate of approval for display at the centre
- allocate a centre number, which should be used in all communications with City & Guilds
- allow registration and assessment of candidates for the qualification(s) detailed on the QAP form(s).

Centre and qualification approval withheld

Where there is insufficient evidence to satisfy either the centre or qualification approval criteria, the EV will complete an action plan and indicate:

- the areas that need to be developed further
- the date by which improvements should be made and an indication of the additional evidence required.

Once the action plan has been implemented, centres should contact their City & Guilds regional/national office. They will request evidence to confirm that the centre and qualification approval criteria have been satisfied and, if necessary, a second approval visit will be made; this supplementary visit will incur a charge.

To appeal against a decision to withhold centre and qualification approval, please follow the procedures described in Section 11.

Centre and qualification approval denied

This will happen where it is clear from the visits undertaken to the organisation that they are not in a position to satisfy City & Guilds' approval criteria.

4.7 Approval for the purpose of examinations only

Organisations seeking approval solely for the purpose of examinations will usually receive an initial approval visit by a Quality Systems Co-ordinator. Subject to the compliance with the regulations in the Instructions for conducting examinations document and the approval criteria on Form CAP being met, approval may be recommended without an approval visit. Where this is the case, they will be notified of our approval decision within two weeks of receipt of Forms CAP and QAP. Centres will, however, be subject to random inspections at examination time to ensure that the examination procedures are being complied with, as detailed in the Instructions for conducting examinations. .

NOTE: If separate assessment sites are used for examinations (for example, those centres that allow examinations to be taken at the candidate's workplace), the requirements of the Instructions for conducting examinations must be satisfied by the approved centre. Please also note that the approved centre has the following responsibilities for:

- co-ordinating and making orders/entries for examinations to City & Guilds for all assessment sites/venues, to be submitted centrally by the examination secretary (Quality assurance co-ordinator)
- informing City & Guilds of the number of assessment sites/venues and the number of candidates at each, so that the appropriate number of packs of question papers and exam stationery can be despatched to the approved centre
- timely and secure despatch of question papers and stationery to assessment sites/venues, including any additional copies of ICMs that may be required
- arranging suitable invigilation and for briefing invigilator(s) - in the case of business premises the invigilator will normally be the line manager or someone senior to the candidate
- despatch of question papers, worked scripts and other examination-related material to examiners and City & Guilds, as appropriate.

4.8 Centres seeking approval for City & Guilds customer qualifications

Organisations which are not already approved to offer any City & Guilds qualifications, but are intending to offer a customer qualification under a special arrangement, must complete Form CAP in addition to Form QAP for the customer qualification in question.

4.9 Centres seeking approval for City & Guilds Higher Level Qualifications

Organisations which are not already approved to offer any City & Guilds qualifications but are interested in offering a Higher Level Qualification must complete Form CAP in addition to the QAP for the qualification in question.

4.10 The common centre recognition route

This is for organisations which are not already approved to offer City & Guilds' qualifications, but are approved to offer NVQs for those awarding bodies who make up the Joint Council for Qualifications (JCQ) – AQA, CEA, Edexcel, OCR and WJEC.

The following documents are to be sent to the organisation's regional/national City & Guilds office:

- awarding body centre approval letter
- the two most recent EV visit reports
- Form CAP and Form QAP, statement of intent, form CAF (including direct debit form)
- cheque for £1500 centre approval fee.

Please contact the City & Guilds regional/national office for further details.

Important notes

- the documentation submitted in support of approval applications must include a signed copy of the Statement of Intent, CAP, QAP, CAF and Direct Debit forms, plus one photocopy of the completed originals and a blank sheet of the centre's headed paper
- assessments should not be undertaken until approval has been granted
- some qualifications are administered solely by one City & Guilds regional/national office. Where this is the case the City & Guilds regional/national office will forward all initial applications for approval to the appropriate office, which will then become the main point of contact for the qualification concerned
- from initial receipt of the application forms, the approval process should be completed within 30 working days for straightforward applications. Centres are asked to work to this as a minimum timescale when planning assessments
- in the case of multiple qualification approval applications, more than one external verifier may visit the centre
- City & Guilds reserves the right to request a deposit from any centre with an unsatisfactory credit status, pending establishment of a reliable payment record.

Centre approval

Procedures for becoming an approved City & Guilds centre

Stage 1

Contact your local regional/national City & Guilds office to indicate your interest in becoming an approved City & Guilds centre (see the map of City & Guilds offices on inside of front cover or on our website: www.cityandguilds.com).

Stage 2

Your City & Guilds regional/national office will then:

- despatch a letter containing additional information and a Statement of Intent
- arrange for a Customer Relationship Manager (CRM) to contact your centre to discuss your approval package.

Stage 3

Submit your centre's completed Statement of Intent, credit application form (CAF), direct debit mandate, a copy of your centre's headed notepaper, and cheque for the full amount of the approval fee to your local regional/national City & Guilds office.

Is a centre visit required?

Arrange for a CRM to visit your centre, discuss the approval documentation and operational queries, and collect your centre's completed Statement of Intent, credit application form (CAF), direct debit mandate, a copy of your centre's headed notepaper, and a cheque for the full amount of the approval fee.

Stage 4

You will be sent a CD-ROM toolkit; a Quality Systems Consultant (QSC) will visit your centre to present the toolkit, provide assistance in completing the approval documentation, ensure that suitable quality assurance systems are in place and discuss regulatory requirements in becoming an approved City & Guilds centre.

Stage 5

Send your applications for approval: Centre Approval Form (CAP) and Qualification Approval Form (QAP), to your regional/national office.

Stage 6

City & Guilds will acknowledge receipt and allocate an external verifier to your centre.

Stage 7

The allocated external verifier will visit your centre to confirm your suitability and will then complete a report with an approval recommendation and if applicable an action plan. The head of your centre will receive a copy of this report and a copy will be forwarded to your regional/national City & Guilds office.

Stage 8

Notification of our approval decision will normally be received within two weeks from the receipt of the external verifier report. There are three possible outcomes:

Outcome 1

Centre approval and qualification approval granted; City & Guilds will:

- Recognise your organisation as an approved City & Guilds Assessment centre
- Issue a certificate of approval
 - Allocate a centre number
 - Allow registration and assessment of candidates.

Outcome 2

Centre approval and qualification approval have been withheld subject to action plan.

The external verifier will complete an action plan and indicate areas that need development and the date by which improvements should be made. Once the action plan has been implemented, contact your City & Guilds regional/national office who will request evidence to confirm action taken, and if necessary, arrange a second approval visit.

Outcome 3

Centre approval and qualification approval have been denied.

This will happen when it is clear from the visits to your centre that you are not in position to meet City & Guilds approval criteria.

5 Qualification approval

5.1 Making an application

Centres will need to complete Form QAP (Qualification Approval Form) and send the original, plus one copy of the completed original, to the appropriate City & Guilds regional/national office.

Two copies of Form QAP must be submitted for each qualification they wish to offer.

On receipt of the application City & Guilds will:

- review the completed Form QAP
- refer to related, successful qualification approval applications the centre has made in the past, to determine the need for a qualification approval visit (if applicable)
- send a copy of the form to an EV, who may request additional information from the centre where necessary
- ask the EV either to make a recommendation on the basis of the information on the application form, or to undertake an approval visit (please see below).

5.2 Applications requiring approval visits

A visit will normally be considered necessary where:

- the centre has made no previous successful qualification approval application(s) in the area for which they are currently seeking approval
- evidence is insufficient to indicate the centre's ability to operate satisfactorily the qualification for which they are seeking approval.

5.3 Prior to the visit

The EV will agree the visit programme with the QAC and:

- confirm any special arrangements made, eg a visit to a satellite site
- indicate any points within the application which need clarification/discussion
- identify the members of staff s/he wishes to meet. These may include the QAC, the IV(s)/IVC/QC/assessors/tutors for each qualification.

5.4 During the visit

The EV will:

- ensure that all staff involved with verification and assessment for the qualification understand their roles and responsibilities
- seek evidence to confirm that the centre has met or has the potential to meet the qualification approval criteria
- give help or advice where possible
- approve documentation as appropriate, eg draft assignments for Higher Level Qualifications (HLQs).

The duration of the visit will vary depending on the time needed to complete the above, but it will be at least half a day.

5.5 At the end of the visit

The EV will:

- complete a report, which will include an action plan
- leave a copy of the report for the head of centre
- forward a copy of the report to City & Guilds.

5.6 Notification of approval

Centres will normally be notified of the approval decision within two weeks of receipt of the EV report.

There are three possible outcomes of a qualification approval application:

- qualification approval has been granted
- qualification approval has been withheld
- qualification approval has been refused.

Qualification approval granted

When a centre is formally notified that qualification approval has been granted, they will be able to register and assess candidates for the qualification(s) concerned.

Qualification approval withheld

Where insufficient evidence to satisfy the qualification approval criteria has been provided, the external verifier will indicate on the action plan:

- the areas that need to be developed further
- the date by which improvements should be made and additional evidence provided.

Once the action plan has been implemented, a centre should contact their City & Guilds regional/national office. They will request evidence to confirm that the qualification approval criteria have been satisfied and, where necessary, a second approval visit will be made; this supplementary visit will incur a charge.

Qualification approval refused

This would mean that there is so much development needed in order to meet the requirements, that should a centre want to pursue qualification approval, another application form would need to be submitted.

To appeal against a decision to withhold or refuse qualification approval, please follow the procedures described in Section 11.

5.7 Applications not requiring approval visits and for examinations only centres

There may be instances where an approval visit is not necessary. If so, a centre will normally be notified that approval has been granted within two weeks of receipt of the application form. Once approved, the centre will be able to register and assess candidates for the qualification(s) concerned. N/SVQ certificates cannot be claimed until a successful verification visit has been undertaken by the external verifier. Contact the City & Guilds regional/national office for details.

5.8 Applications for City & Guilds customer qualifications

Centres intending to offer a customer qualification are also required to complete and return Form QAP.

5.9 Applications for City & Guilds centre-devised qualifications

All applications for approval of centre-devised syllabuses must be made to City & Guilds Centre-devised team, 1 Giltspur Street, London EC1A 9DD, not less than six months before the course begins.

5.10 Applications for City & Guilds Care, Health and Community

Applications to offer qualifications in the Care, Health and Community sector have various additional approval requirements with which prospective centres must comply. These are covered in the relevant qualification guidance and candidate record of assessment for the qualification that centres wish to offer.

5.11 The common qualification recognition route

This is for approved City & Guilds centres currently offering NVQs with those awarding bodies that make up the Joint Council for Qualifications (JCQ) – AQA, CEA, Edexcel, OCR and WJEC and who wish to offer the qualifications with City & Guilds. The purpose is to recognise and accept the high quality approvals from member JCQ awarding bodies.

The following documents are to be sent to the centre's City & Guilds regional/national office:

- the two most recent EV reports for this qualification
- Form QAP
- a cheque for £200 (an invoice can be raised if requested).

Please contact the City & Guilds regional/national office for further details.

Important notes

- the documentation submitted in support of approval applications must include a signed copy of Form QAP, plus one photocopy of the completed original
- some qualifications are administered solely by one City & Guilds regional/national office. Where this is the case the City & Guilds regional/national office will forward all initial applications for approval to that office, which will then become the main point of contact for the qualification concerned
- if an approval visit is required, the approval process should be completed within 30 working days from initial receipt of the application form – centres should bear in mind this timescale when planning assessments
- we always try to process applications as quickly as possible, but the following circumstances can cause a delay:
- incorrect/incomplete Form QAP(s) or failure to include attachments
- availability of external verifiers and/or appropriate centre staff
- where multiple qualification approval applications require approval visits, more than one external verifier may visit a centre.

5.12 General qualification approval criteria for qualifications involving global online assessment (GOLA)

Global online assessment (GOLA) is the flexible testing system from City & Guilds. The system allows on-demand tests with instant feedback in a wide range of subject areas including Key and Basic Skills. This system itself is simple to install and administer.

With GOLA, centres can wave goodbye to paper tests and fixed exam days, and substantially reduce administration costs.

GOLA refers to any City & Guilds assessment delivered to a candidate by computer, as opposed to the traditional paper-based mode of delivery. The candidate completes the examination through interacting with the assessment application on the computer. This method of testing allows the centre to:

- set tests whenever and wherever they choose

- receive feedback regarding candidates' performance within seconds and certificates within days
- reduce administration and paperwork saving both time and money
- not be constrained by June – December exam cycles
- download and deliver tests without the need for a permanent internet connection via a computers on a local area network or single laptops.
- enable individuals to progress in their own time.

For further information about the GOLA system, please visit www.cityandguilds.com/gola or ring the free technical support helpline on **0845 241 0070**.

- City & Guilds has minimum technical requirements for delivering its computer-based examinations, which relate to the local area network (LAN) file server as well as the invigilator's machine and the candidates' machines. These requirements may vary depending on the qualification for which approval is being sought, and are likely to change over time; please refer to www.cityandguilds.com/gola for more information. A centre's ability to run the GOLA software according to City & Guilds' requirements will constitute, in part, the approval criteria for delivering qualifications involving GOLA. These technical requirements will help to ensure that candidates across centres not only receive the same test item types, but do so in the same virtual environment.
- Assessments for GOLA qualifications can only be delivered by this means. A paper-based equivalent can only be provided under exceptional circumstances (ie candidates with particular requirements). In such cases, these candidates' scores will be calibrated to match the GOLA tests.
- All GOLA tests must be carried out under invigilated examination conditions with regard to the JCQ Instructions for conducting examinations (including Health and Safety). This document should be read as appropriate for computer delivered assessment.
- With regard to system failure and back-up procedures, security and integrity of candidate data, and the Data Protection Act, centres are referred to Section 12 and Section 11.

The following table is general criteria for qualifications where candidates will be assessed either in part or wholly by computer using City & Guilds' GOLA system. These criteria should be applied in conjunction with the centre requirements for electronic assessment records and portfolios as described in the City & Guilds document *Ensuring Quality*..

| Criteria | Example of evidence |
|---|--|
| Centre accepts that an examination designed for delivery by computer can only be delivered by this means, and that a paper-based equivalent can only be provided under exceptional circumstances | Agreement with City & Guilds |
| Centre can run City & Guilds examination delivery software on available computing resources that meet a minimum specification to be supplied by City & Guilds and which may vary depending on the qualification for which approval is being sought. | Demonstration that the software works on the centre's computers. |
| Centre has sufficient and appropriately specified computers for examining all candidates in one or consecutive examination sessions. | Audit of computing resources that meet required specification. |
| Centre can receive City & Guilds examination files by a means agreed with City & Guilds (eg floppy disk, CD-ROM, DVD, or download from a secure website) | Agreement on method with City & Guilds. |

| Criteria | Example of evidence |
|---|--|
| Centre can train candidates in using all relevant aspects of the GOLA software prior to the examination. | Practice sessions scheduled as part of qualification delivery. Candidate records indicating that practice was received. |
| Centre can show that it has IT staff with the appropriate experience and/or qualifications for managing the technical delivery of GOLA examinations and other staff who can invigilate such examinations. | CVs of relevant staff. Demonstration/mock examination session. |

5.13 GOLA technical requirements and test centre profile

In order to become a testing centre, there are also technical requirements which need to be met.

What elements are required?

A network or local shared directory

1 GB of disk space on a file server is needed to store downloaded tests and other data. The shared directory can be the same computer which hosts the reception testing software (ESM), or it can be a different machine. A number of ESM instances associated to one shared directory can be running at one time.

Tests can also be carried out on laptops in a mobile situation. For further information on this type of testing, please visit www.cityandguilds.com/gola - management and administration section. All tests must be carried out under test conditions.

Invigilator machine or the reception workstation

This computer is used by the person administering the tests. The Enterprise Site Manager (ESM) software is installed on this PC. A centre can access the ESM software from more than one reception machine.

Candidates' machines or the testing workstations

These are the computers used by students to take the tests. The Administrator software is installed on these PCs.

Technical specifications

Invigilator (ESM)/reception workstation

ESM has been designed to run on the following minimum specification:

- Adobe Acrobat® Reader 6.0 or greater
- Microsoft Internet Explorer® 6.0 or greater
- Pentium IV PC with 900 MHZ processor
- 1GB or more disk space available for Promissor Testing Network use (if the PC is to be used as the file server, otherwise a networked file share is required)
- 512 MB RAM
- 10/100 Mbps network interface adapter(Wireless networks must guarantee 10Mbps per connection during testing)
- Minimum 56K connection to a reliable ISP (Internet Service Provider) broadband recommended.
- Printer for printing score reports
- Full access to TCP traffic on port 80 (HTTP) and 443 (HTTPS) – standard internet ports.
- Please ensure Microsoft IIS® is not running on the ESM machine/s.

- If ISA Server is used you may need to install the ISA Firewall Client
- Citrix mainframe or Microsoft Terminal services are not supported

Please note the Windows XP and 2000 have a limited number of concurrent connections, if you use either of these as the file share you may not install GOLLA on more than 10 PCs in total (this includes ESM). Should you wish to install more than 10 PCs this will require a file server with a copy of Windows Server installed.

Operating systems

ESM and eAdministrator have been tested and are supported on the following operating systems:

- Windows XP
- Windows 2000 Professional
- Windows 2000 Server
- Windows 2003 Server.

Please note if your operating system is not listed it is not supported. Vista is not currently supported.

Test taker workstation (eAdministrator)

The above specifications also apply to eAdministrator (with the exception of Acrobat Reader) plus the following:

- Microsoft or compatible mouse
- Video adapter capable of displaying at least 16 million colours (24-bit colour) and 1024 x 768 pixels.
- 15" or larger monitor capable of displaying 16 million colours (24-bit colour) and 1024 x 768 pixels. Where laptop is used screen display size should be 12" or greater and able to display 1024x768 pixels.
- Display font size set to Small Fonts (Normal Size 96dpi) before prior to testing.
- Sound card with headphones if offering exams that require sound files.

Please note Adobe Acrobat is only a requirement for ESM and need not be installed on machines running only eAdministrator. Full local administrator rights are required to install the software on both ESM and eAdministrator workstations.

6 Updating approval information

6.1 Form APU

This form must be completed whenever there has been a change affecting the information provided on a Form CAP, Form QAP, or a previous Form APU. The Form APU must be sent to the appropriate City & Guilds regional/national office, and a copy to each relevant external verifier. Form APU can be found towards the end of this document.

Where substantial changes have taken place, particularly in relation to physical and staff resources, the following points should be noted:

- an additional external verification visit may be required to confirm that the approval criteria continue to be met
- it may be necessary to withhold certification until an additional visit has been made and a satisfactory report received. Centres will be kept fully informed of all actions and decisions taken.

7 Payment terms

7.1 Centre approval application and payment for City & Guilds services

A centre approval application will only be processed if a cheque for the relevant centre approval fee is included. Approval fees are currently exempt from VAT and are non-refundable.

We will initiate credit status enquiries including obtaining a bank reference and, if necessary, trade references. A satisfactory credit status will grant centre payment terms of 30 days from invoice date for all City & Guilds services, preferred method of payment is by Direct Debit.

A monthly credit limit will be applied.

We reserve the right to request a deposit from a centre with an unsatisfactory credit status, and/or from a centre that is not prepared to pay by Direct Debit. The deposit will be equivalent to a maximum of two months anticipated monthly turnover and is payable in advance of the centre using City & Guilds services. We will review a centre's account on a regular basis and 12 months after the first Direct Debit has been successfully initiated consideration will be given to refunding the deposit if a reliable payment record has been established.

7.2 Direct Debit - an easier way to pay

City & Guilds preferred method of payment is by Direct Debit. It is a simple, convenient way to pay for our services because it is efficient, it keeps costs down and, for centres, it has all these benefits:

- invoices will still be sent to centres but payment will be made automatically by their bank
- a Statement of Account will still be sent to centres, at least 10 working days in advance of their account being debited - there will be plenty of time to query an item
- centres are still granted credit facilities - a full month's invoicing included on the Statement of Account will be paid on approximately the 26th of the month following the month of invoicing
- the bank does all the work - centres do not have to write and sign cheques or incur postage
- centres are fully guaranteed against errors - if a mistake ever occurs, their bank will make an immediate refund (see Direct Debit guarantee provided towards the end of this document)
- centres can cancel the instruction at any time by informing us and their bank.

If there are any concerns, please contact:

Credit Control department
City & Guilds
1 Giltspur Street
London EC1A 9DD

8 Registering and certificating candidates

8.1 Clarification of the application of the '10-week rule' for N/SVQs

All candidates, when presenting themselves for assessment, must be registered with City & Guilds for at least 10 weeks before a claim for certification can be made in order to allow time for quality checks to be carried out. This applies to full N/SVQ certificates, Workplace Core Skills or the units for assessors and verifiers.

City & Guilds expects candidates to be registered for a qualification as soon as possible after enrolment at the centre. Failure to do so may delay certification.

This enables the EV to plan an effective verification strategy based on accurate details of the number of candidates at a centre. Centres have a duty to supply correct registration information to City & Guilds.

Centres must ensure that 10 weeks have elapsed before a claim for certification can be made. In the event of the 10 week rule being breached, City & Guilds will be required to withhold any results; a Nominal Roll Report will be generated identifying what has happened. It is a requirement of QCA/SQA that we review premature claims and, therefore, our EVs may investigate the reason for such claims. QCA/SQA monitor us on the application of the 10-week rule.

Centres are advised that it is their responsibility to ensure that candidates are registered before a qualification's expiry date. Centres must ensure that registration requests are received by City & Guilds 10 working days before the expiry date to allow time for the processing of requests. Similarly, requests for certification must be received by City & Guilds 10 working days before the qualification's certification end date. QCA/SQA regulations prevent City & Guilds issuing certificates after a qualification's certification end date.

Where centres are experiencing difficulty in understanding or applying the 10-week rule to their own business requirements, City & Guilds will be pleased to give what assistance it can. Please contact our Operations Support department on 020 7294 2787.

8.2 Walled Garden

The Walled Garden is a free online interactive administration service. It has been developed especially to enable City & Guilds centres to carry out a range of day-to-day functions quickly and efficiently via the internet and it is the preferred method of registering and administering candidates as opposed to paper administration. It only requires authorisation from the Head of Centre to set up user accounts.

This unique service has been designed for and used only by City & Guilds centres and once you register with the Walled Garden you will benefit from an advanced customer-friendly facility that offers all the secure, efficient services you need - 24 hours a day, seven days a week.

What does the Walled Garden offer

- view candidate details
- facility to submit results/registrations/exams etc
- order publications
- view the catalogue for qualification information
- view financial reports
- maintain your candidate details

For an online audio and visual demonstration please visit
<http://media.cityandguilds.com/tutorial/>

Getting Into the Walled Garden

Visit www.walledgarden.com for an application form and click on the link titled 'To apply for a Walled Garden account - [Click Here](#)'

Important! Your unique centre number

For new centres that are going through the process of becoming an approved City & Guilds centre, you will need to have had your first external verifier visit before you can apply for your Walled Garden account. If successful and approved by your external verifier; you will be allocated your six-digit centre reference number which will be found on the certificate and letter sent to you by your regional office.

Once you have your permanent six-digit centre reference number you will then be able to proceed to apply for your Walled Garden account (see 'Getting into the Walled Garden')

Please check with your regional office if you are unsure of anything, they will be more than happy to assist you.

Who can use the Walled Garden?

There are four user profiles:

Exams

This profile is for people who are responsible for making registrations and claiming results, for example Exams Officers or Academic Registrars. It allows the user to:

- make online registrations and purchase approved products and services from the Catalogue
- view reports for Orders, Candidates/Results, Qualifications and Finance
- upload EDI files using Data Services
- manage candidates using the Cohort/Candidate management facility.

Financial

This profile is for people responsible for financial information or centre management, for example Finance/Accounts or Principal/Managing Director/Head of Centre. It allows the user to:

- browse the Catalogue
- view reports for Orders, Candidates/Results, Qualifications and Finance.

Education

This profile is for people responsible for the delivery of qualifications or monitoring the delivery of qualifications, for example Assessors, Tutors or Internal Verifiers. It allows the user to:

- browse the Catalogue
- view reports for Candidates/Results and Qualifications.

MIS

This profile is for people responsible for managing and maintaining the IT systems of the centre, for example MIS or IT. It allows the user to:

- browse the Catalogue
- upload EDI files using Data Services
- view reports for Orders.

Walled Garden account profiles



| | | Walled Garden Profile | | | |
|------------------|----------------------|-----------------------|-----------|-----|---------|
| | | Exams | Education | MIS | Finance |
| Catalogue / Shop | Catalogue | ✓ | ✓ | ✓ | ✓ |
| | Shopping Basket | ✓ | | | |
| | Cohort Management | ✓ | | | |
| | Data Services | ✓ | | ✓ | |
| Reports | Orders | ✓ | | ✓ | ✓ |
| | Candidates / Results | ✓ | ✓ | | ✓ |
| | Financial | ✓ | | | ✓ |
| | Qualifications | ✓ | ✓ | | ✓ |

Submitting your application

Post:

| City & Guilds | ILM | NPTC |
|---|---|--|
| Online Services City & Guilds 1 Giltspur Street London EC1A 9DD | Online Services ILM 1 Giltspur Street London EC1A 9DD | NPTC Stoneleigh Park Stoneleigh Warwickshire CV8 2LG |

Fax:

| City & Guilds | ILM | NPTC |
|---|---------------------|---------------------|
| +44 (0)20 7294 2413 or +44 (0)20 7294 2405 | +44 (0)20 7294 2402 | +44 (0)24 7685 7346 |

Email (if you are able to scan the document and send as an attachment only):

| City & Guilds | ILM | NPTC |
|---------------------------------|-------------------------|--------------------------------|
| online@cityandguilds.com | online@i-l-m.com | information@nptc.org.uk |

9 General terms

9.1 The contract

The contract between a centre and City & Guilds consists of the centre's application forms for centre and qualifications approval (and any updates). It requires that the centre complies with City & Guilds' policies, regulations, requirements, procedures and guidelines set out in Providing City & Guilds qualifications and/or the Catalogue, and any revisions or additions to those policies, regulations, requirements, procedures and guidelines which apply from time to time.

Centres must comply with the requirements, including codes of practice of any relevant regulatory authority. They must also keep any confidential information relating to City & Guilds' business or affairs secure and protected against theft, damage, loss or unauthorised access and not disclose any information of this nature to any other person. They will ensure that their employees and agents are aware of and bound by this requirement, which will not apply to any information which comes into the public domain through no fault of the centre.*

Centres may not transfer their rights to anyone else, nor allow anyone else to exercise them without City & Guilds' written consent.

Centres, their employees, sub-contractors and agents will on request fully and accurately disclose to us any information we reasonably ask for in order to check that they have complied or are complying with their obligations.

If a centre is made up of a group of agencies, each one of them is responsible for the actions (or failures to act) of the others.

Centres will make good any loss which City & Guilds incurs as a result of any action, failure to act, or negligence on the part of the centre or its employees, sub-contractors or agents. City & Guilds will not be liable for any loss incurred by centres resulting from its failure to give advice or information or the giving of incorrect advice or information, whether or not due to its negligence or that of its employees, subcontractors or agents.*

Neither centres nor City & Guilds shall be liable to the other for anything which is due to anything which is outside our reasonable control, or for loss of profits, goodwill or anticipated savings and/or indirect or consequential loss or damage, except that we may claim our reasonable consequential operational and administrative costs and other expenses from you.*

The arrangements between us do not amount to a partnership in law.

The agreement between us:

- represents the entire understanding between the centre and City & Guilds and neither of us has entered into it in reliance on any statement or representation (whether negligent or innocent) except those contained or referred to in the agreement
- may only be altered if both the centre and City & Guilds agree in writing
- is governed by English law.

*These provisions will continue even if centre approval is withdrawn.

9.2 Mandatory use of electronic candidate transactions facilities – UK centres

From 1 July 2005, electronic processing of candidate transactions is a mandatory component of the centre approval process. This processing can be undertaken in two ways, either by EDI – Electronic Data Interchange whereby a centre's own data management systems can be used to supply candidate information for registration and certification purposes, or by use of the Walled Garden, City & Guilds' own electronic facility for the registration and certification

of candidates. Prospective centres will need to be technologically equipped and knowledgeable to adopt one of the above methods.

Both methods will be discussed prior to approval with the Customer Relationship Manager, and a choice should be declared on the centre approval application form (CAP).

9.3 Minimum annual invoice level

Centres whose candidate transaction invoices (registrations and certifications) remain below £500 for a full trading year will be charged the balance in arrears. Any centre whose annual fees with City & Guilds already exceed £500 per annum will be unaffected.

9.4 Other transactions

Please note that some transactions which will take place between a centre and City & Guilds (eg the purchase of materials and the use of the Walled Garden) are subject to separate terms and conditions which are not set out in this document.

10 Non-compliance

Introduction

There are four regulators for qualifications in England, Wales, Scotland and Northern Ireland:

- England - Qualifications and Curriculum Authority (QCA)
- Wales - Department for Children, Education, Lifelong Learning and Skills (DCELLS)
- Scotland - Scottish Qualifications Authority (SQA)
- Northern Ireland - Council for the Curriculum Examinations and Assessment (CCEA).

The three regulators for England, Wales and Northern Ireland specify, in the form of criteria, the characteristics necessary for any qualification to be accredited and admitted into the national qualifications framework. They also specify in the form of a Common Code of Practice, the processes and procedures required to ensure high quality, consistency and rigorous standards in assessment and awarding across all qualifications within the framework and over time.

All qualifications on the national qualifications framework are subject to regulation by these bodies. NVQs are subject to regulation in Scotland and are audited in Scotland by SQA on behalf of QCA.

10.1 Withdrawal of approval

Centre or qualification approval may be withdrawn by written notice to the centre by City & Guilds at any time:

- if the centre has not complied with the terms of the agreement with City & Guilds, with the approval criteria or with any of City & Guilds' policies, regulations, requirements, procedures and guidelines.
- if there are major deficiencies in the assessment process and City & Guilds reasonably believes that the centre can no longer ensure the appropriate quality of assessment provision; and/or
- by giving the centre a reasonable period of notice (but at least three months).

Centre approval may also be withdrawn by City & Guilds at any time if:

- the centre has no qualification approval in force
- payment for City & Guilds services is not received in accordance with our payment terms (see Section 7)
- the centre (or any individual agency if the centre is made up of a group) becomes bankrupt or insolvent or goes into liquidation, or any resolution or order is made for the purposes of voluntary or compulsory winding-up. City & Guilds must be informed immediately if this happens
- there is any change in control of the centre, or (in the case of a centre which is made up of a group of agencies) there is any change in the membership of the group. Again, City & Guilds must be informed straightaway if this happens
- City & Guilds external verifiers/examiners/staff encounter any violence or abuse from centre staff
- any other part of the City & Guilds Group has withdrawn the centre's ability to offer any or all of its qualifications.

City & Guilds may however decide not to withdraw approval immediately but to discuss the problem with the centre and give a reasonable period within which to put it right, or we may opt for suspension (see overleaf).

If City & Guilds withdraws approval, it may also specify the earliest date on which a centre may reapply.

10.2 Suspension of approval

City & Guilds may decide to suspend all or any of a centre's activities (its ability to register candidates, for example, or to make purchase orders) for a specified period of time or indefinitely. This may be in order to see if a situation can be remedied, or if we feel that it is appropriate to do so in order to protect candidates or City & Guilds, for example if the centre is the subject of an investigation.

10.3 Provisions applying to both withdrawal and suspension of approval

Centres have the right to appeal against withdrawal or suspension of centre or qualification approval (see Section 10).

If the centre consists of a group of agencies, City & Guilds may withdraw or suspend approval in relation to the centre as a whole as a result of something which one or more of the agencies has or has not done.

In order to help affected candidates, we expect centres to give them, within whatever time frame we specify, whatever information (about how they can complete their qualifications, for example) or support we consider to be reasonable.

If a centre has been given permission to use the City & Guilds logo or any other City & Guilds trade mark that might may come to an end (see Section 14).

Centres must also destroy or return to us, as soon as we ask them to do so, the originals and any copies of any documents (in whatever medium) which belong to City & Guilds.

Withdrawal or suspension does not affect any earlier claims, or give rise to any new ones, between the centre and City & Guilds, except that:

- we will look to centres to make good any loss which City & Guilds may suffer as a result of the withdrawal or suspension if it happens as a result of anything which the centre has or has not done
- City & Guilds will still be entitled to be paid any money which became due to it beforehand (plus interest from the date of withdrawal at 3% above the base rate for the time being of the Royal Bank of Scotland), less of course any money properly due to the centre by us.

10.4 Sanctions for non-compliance

Regulatory authorities may impose sanctions which City & Guilds must implement. Contact the relevant regulator who may be able to give you more information about the NVQ Code of Practice (2006).

The tariff of sanctions links five levels of transgression against the requirements of the approved centre criteria with a required sanction. These are set out in detail in Table 1 below, together with a rationale for the sanction, and represent the minimum response required of an awarding body to a particular shortcoming or problem.

Table 1

| Tariff/level of transgression | Sanction | Rationale |
|-------------------------------|--|--|
| 1 | Entry in action plan | Non-compliance with approved centre criteria but not a threat to the integrity of assessment decisions |
| 2 | Removal of direct claims status, ie claims for certification must be authorised by the external verifier | Close scrutiny of the integrity of assessment decisions required |

| Tariff/level of transgression | Sanction | Rationale |
|--------------------------------------|---|--|
| 3 | (a) Suspension of registration (b) Suspension of certification | (a) Threat to candidates (b) Loss of the integrity of assessment decisions – danger of invalid claims for certification |
| 4 | Withdrawal of centre approval of specific NVQs | Irretrievable breakdown in management and quality assurance of specific NVQs |
| 5 | Withdrawal of centre approval for all NVQs | Irretrievable breakdown in management and quality assurance of all NVQs run by the centre |

Table 2

| Non-compliance and reference to approved centre criteria | Sanction | Rationale |
|---|---|--|
| <p>1.1 Centre's aims, policies and assessment practices, and responsibilities of personnel are not clear or well understood by assessment team</p> <p>1.2 Internal verification procedures and activities not clearly documented</p> <p>1.3 Communication within the assessment team and with the awarding body is ineffective</p> <p>1.4 Equipment and accommodation do not comply with health and safety acts</p> <p>1.5 Insufficient qualified assessors</p> <p>1.6 Assessors/internal verifiers do not have adequate development plans</p> <p>1.7 Candidates are not aware of their rights and responsibilities, eg no appeals procedure for candidates</p> <p>1.8 There is inadequate assessment planning with candidates</p> <p>1.9 Queries are not resolved or recorded</p> <p>1.10 Range of assessment methods is insufficient to encourage access</p> <p>1.11 Changes to personnel of the assessment and verification team are not notified to the awarding body</p> <p>1.12 Unit certification is not made available to candidates</p> <p>1.13 There is inadequate monitoring or review of procedures</p> | <p>Level 1 Entry on Action Plan</p> | <p>Non-compliance with centre approval criteria but no threat to the integrity of assessment decisions</p> |
| <p>2.1 Assessors have insufficient time, resources or authority to perform their role</p> <p>2.2 Decisions of unqualified assessors have not been countersigned by qualified assessors</p> | <p>Level 2 Removal of direct claims status, ie claims for certification must be authorised by the external verifier</p> | <p>Close scrutiny of the integrity of assessment decisions required</p> |

| Non-compliance and reference to approved centre criteria | Sanction | Rationale |
|--|--|--|
| 2.3 Assessment decisions are not consistent 2.4 Insufficient qualified internal verifiers 2.5 Decisions of unqualified internal verifier have not been countersigned by qualified internal verifier 2.6 Records are insufficient to allow audit of assessment 2.7 Previously agreed corrective measures relating to level 1 are not implemented | | |
| 3A.1 Assessment process disadvantages candidates 3A.2 Assessment decisions are unfair 3B.1 No qualified internal verifier 3B.2 Assessment does not meet national standards 3B.3 The centre fails to provide access to requested records, information, candidates and staff 3B.4 Assessed evidence is not the authentic work of candidates 3B.5 Records of assessment show serious anomalies 3B.6 Certification claims made before all the requirements of assessment are satisfied 3B.7 Previously agreed corrective measures relating to level 2 non-compliance are not implemented | Level 3A/3B Suspension of registration / certification | 3A – threat to candidates 3B – loss of the integrity of assessment decisions – danger of invalid claims for certification |
| 4.1 Significant faults in the management and quality assurance of the NVQ programme which result in an ongoing failure to meet the core requirements for the conduct of assessment 4.2 Previously agreed corrective measures relating to a level 3 non-compliance have not been implemented | Level 4 Withdrawal of centre approval for specific NVQs | Irretrievable breakdown in management and quality assurance of specific NVQs |
| 5.1 Significant faults in the management and quality assurance of all NVQ programmes 5.2 Previously agreed corrective measures relating to a level 4 non-compliance have not been implemented | Level 5 Withdrawal of centre approval for all NVQs | Irretrievable breakdown in management and quality |

11 Complaints, appeals and infringement of rules

We always aim to establish and maintain excellent working relationships with our centres and candidates and do everything we can to make sure our customers get the best possible service. However, there are a number of possible situations where disputes may arise that may involve a City & Guilds decision.

We have separate policies and processes for dealing with complaints and appeals. The most up-to-date information may be obtained from our website or from:

Customer Relations
City & Guilds
1 Giltspur Street
London
EC1A 9DD

Direct line: 020 7294 2800
Facsimile: 020 7294 2405
Email: feedbackandcomplaints@cityandguilds.com

11.1 Complaints

Whilst we always try to ensure that City & Guilds staff, local examiners, visiting assessors and external verifiers carry out their duties in a professional and responsible manner there may be exceptional instances when a candidate is unhappy with their conduct. Similarly centres may have a complaint about the service that has been provided that they wish to bring to our attention. In these circumstances, the letter of complaint should be addressed to the Customer Relations department at the above address.

If a registered candidate wishes to complain about a centre-based assessment towards an N/SVQ or other competence-based qualification, or about aspects of their course or centre, they must apply to the centre and complete its own appeals process.

If a centre wishes to complain about an external verifier judgement relating to candidate evidence, they should in the first instance raise it with the external verifier concerned, and if it remains unresolved, contact their City & Guilds regional/national office.

11.2 Centre complaint procedures

Centres are required as a condition of approval to agree and operate a complaints procedure, which candidates, assessors/tutors, internal verifiers and employers can use in the event that they wish to challenge an appropriate aspect of the centre's operation.

Many centres will adapt existing complaints mechanisms, but for others the establishment of a formal complaints procedure will be a new exercise.

The complaints procedures should:

- identify the person with whom the complaint is lodged
- state the form in which the complaint is made
- incorporate a Complaints Panel (or its equivalent) which is objective and independent
- make clear the times within which complaints may be lodged and must be decided.

Example of procedure

The following arrangements are offered as an example of good practice.

If a candidate wishes to complain, the complaint is lodged with the centre co-ordinator, within 20 days of the issue arising. The centre co-ordinator:

- sets a date for the complaint to be considered by the complaints panel
- attempts to find a solution with the individuals concerned
- notifies the EV that a complaint has been lodged and gives details of how it will be heard, including the composition of the complaints panel
- the complaints panel meets to consider the complaint within 20 working days of the centre co-ordinator receiving the complaint
- the complaints panel should be small and constituted so as to be objective and independent
- the panel should ensure that it has full accounts from all parties involved in the assessment
- no-one involved in the original assessment should be on the panel
- the centre must be able to demonstrate that it can set up a panel which is objective and independent.

Centres should provide a system to support those making the complaint. The complaints documentation should be as simple as possible and should preferably include a pre-printed, post-paid initial candidate document.

If a candidate still does not feel that their complaint has been satisfactorily resolved, they may complain to City & Guilds at the Customer Relations address above. The centre's own complaints procedure must be exhausted before City & Guilds is approached.

11.3 Appeals

There are a number of possible situations where someone may wish to appeal to City & Guilds:

- Centre or candidate appealing against an examination result
- Centre appealing against a City & Guilds decision concerning centre/qualification approval or certification status
- Centre/centre staff/candidate appealing against a sanction/decision as a result of a malpractice investigation.

Appeals against examination results must be made in writing within 60 working days of the notification¹ of the result, to:

Appeals Co-ordinator
Policy and Regulation
City & Guilds
1 Giltspur Street
London
EC1A 9DD

An appeal to City & Guilds against a decision concerning centre/qualification approval or certification status must be received within 20 working days of the date of notification¹, to:

Appeals Co-ordinator
Policy and Regulation
City & Guilds
1 Giltspur Street
London
EC1A 9DD

A malpractice investigation consists of a quality review, which is in effect the quality review (Stage 1) of an appeal. If a centre/centre staff/candidate is not satisfied with outcome of the investigation, they may appeal to City & Guilds Group Appeals Board. An appeal to the City & Guilds Group Appeals Board to review a sanction/decision resulting from a malpractice investigation must be received by within 10 working days of the date of notification¹ of the decision, to:

Clerk to City & Guilds Group Appeals Board
Policy and Regulation
City & Guilds
1 Giltspur Street
London
EC1A 9DD

Please refer to City & Guilds Appeals – Policy and procedures document for fees and further details. A full refund of fees will be made where an appeal is upheld.

¹Notify/Notification

This refers to the passing of information concerning an examination, or investigation to a candidate or centre or City & Guilds. The candidate is deemed to have been notified when the information has been sent to the address, contact number or nominee given by the candidate to the centre or City & Guilds, either immediately if by electronic means, or after the lapse of three working days from the advertised time of collection by post within the United Kingdom or the length of time agreed if by post elsewhere or by other means.

Unresolved appeals

Whilst all appeals are normally resolved at stage 1, centres and candidates who do not feel that their appeal has been satisfactorily resolved have the right to take their appeal to the City & Guilds Group Appeals Board. The City & Guilds Group Appeals Board reviews the process only. They will consider whether the correct procedures were followed consistently by the quality review and whether they were applied properly and fairly in arriving at judgements.

If the candidate or centre feels that their appeal is still not resolved at the second stage, they can next choose to submit their case to the Independent Appeals Board. This is a final and fully independent avenue of appeal. Please refer to City & Guilds Appeals – Policy and procedures document for further details.

11.4 Centre appeals procedures

Centres are required as a condition of approval to agree and operate an appeals procedure, which candidates can use if they wish to challenge an assessment decision.

Many centres will adapt existing appeals mechanisms, but for others the establishment of a formal appeals procedure will be a new exercise.

The appeals procedures should:

- identify the person with whom the appeal is lodged
- state the form in which the appeal is made
- incorporate an Appeals Panel (or its equivalent) which is objective and independent
- make clear the times within which appeals may be lodged and must be decided.

The appeals procedure must allow candidates who are registered at the centre to challenge the outcomes of their assessment at the level of a unit/module/component if they consider that the assessment has not been carried out properly

Example of procedure

The following arrangements are offered as an example of good practice.

If a candidate wishes to appeal, the appeal is lodged with the centre co-ordinator, within 20 days of the candidate being notified of the assessment decision. The centre co-ordinator

attempts to find a solution with the candidate, assessor/tutor and internal verifier, for example through another assessment or re-consideration of the evidence/work.

Failing this, the centre co-ordinator:

- sets a date for the appeal to be considered by an appeals panel
- notifies the EV that an appeal has been lodged and gives details of how it will be heard, including the composition of the appeals panel
- the appeals panel meets to consider the appeal within 20 working days of the centre co-ordinator receiving the appeal
- the appeals panel should be small and constituted so as to be objective and independent
- the panel should ensure that it has full accounts from all parties involved in the assessment
- no one involved in the original assessment should be on the panel
- the centre must be able to demonstrate that it can set up a panel which is objective and independent.

Centres should provide a system to support those making the appeal. The appeal documentation should be as simple as possible and should preferably include a pre-printed, post-paid initial candidate document.

As a final stage of the centre's appeal procedure, the centre may contact City & Guilds if the candidate still does not feel their appeal has been satisfactorily resolved. A City & Guilds EV will review the assessment and make a judgement. City & Guilds may charge for this service.

City & Guilds will not accept any further responsibility regarding candidate appeals against assessment.

A candidate may however, complain to the centre about the centre's appeals procedure.

11.5 Infringement of rules

An infringement of examination rules by a candidate or any irregularity in the conduct of an examination by an invigilator, local examiner or visiting assessor, may result in the examination being declared void by City & Guilds. Any document or certificate that has been issued on the result of such an examination may be recalled and cancelled.

12 Access to assessment – equal opportunities

Set out below is City & Guilds' policy with regard to providing equal opportunities for candidates seeking to gain its qualifications. City & Guilds requires that centres approved to offer assessments leading to its qualifications should inform candidates of the existence of this policy.

12.1 Commitment

City & Guilds is committed to equality of opportunity in education, training and employment. This commitment applies to all, regardless of gender, age, racial origin, nationality, creed, sexual orientation, marital status, employment status or any disability.

City & Guilds aims to promote practices and procedures which ensure equality of opportunity and aims to eliminate any which unfairly discriminate, directly or indirectly.

12.2 Aims

City & Guilds seeks to ensure the following:

- that the content and assessment of its qualifications allow for the widest diversity of candidates
- that the content and demands of its qualifications are non-discriminatory and are appropriate to the knowledge and skills specified
- that the style and language of its documentation are readily understood and do not reflect stereotyped or biased attitudes
- that its promotional materials and activities reflect the diversity of candidates
- that its external examiners, verifiers, moderators and all associated with assessment apply a fair and just process
- that its centres operate equal opportunities policies which accord with those of City & Guilds
- that its centres have an effective appeals procedure of which candidates are made aware.

12.3 Implementation

In order to achieve the successful implementation of this policy, City & Guilds will:

- issue the policy statement to all its staff, appointed agents and centres and ensure that it should be available on request to candidates and other interested parties
- provide development activity appropriate to the needs of its staff, examiners and verifiers, on a regular basis
- ensure that issues of equal opportunity are addressed as an integral part of qualification development, qualification review and assessment guidance
- maintain an equal opportunities group, with appropriate representation, to oversee the development and implementation of the policy and to advise on changes and amendments as appropriate.

In the case of a matter relating to this policy, candidates should immediately inform their centre in writing. If such a matter is not resolved by the centre to the candidate's satisfaction, candidates should write to:

Customer Relations
City & Guilds
1 Giltspur Street
London
EC1A 9DD

Centres wishing to raise a matter relating to this policy should also contact the Customer Relations department at the stated address.

12.4 Access to assessment - candidates with particular requirements

Introduction

City & Guilds' policy on assessment is to give all candidates equal opportunity to demonstrate attainment and to give candidates with disabilities and learning difficulties the same access to assessment as other candidates.

The principles of this policy are that:

- special assessment arrangements do not give unfair advantage over other candidates
- arrangements are determined according to the particular disability or learning difficulty
- users of certificates are not misled about candidate attainment.

In order to achieve these aims, City & Guilds maintains contacts with professional bodies interested in the occupational and educational opportunities for people with disabilities and learning difficulties. Arrangements are regularly reviewed and take account of feedback from these bodies and from centres and candidates.

City & Guilds vocational qualifications (non-N/SVQs) are developed to standards of occupational competence established by the Standards Setting Body (SSB) for the industry, or levels of attainment specified by statutory organisations or special advisory groups. Assessments are designed to measure only the skills, knowledge and understanding which are expressly stated in the qualification documents. City & Guilds sets out the assessment practice and procedures to ensure the required standards are met, but will not undertake to alter these standards without consulting the relevant organisation as this would undermine the credibility of the qualifications. Issues relating to the standards therefore need to be referred to the appropriate responsible body.

Variation of assessment arrangements

Assessment arrangements may be varied, where the standards permit, for candidates with disabilities and learning difficulties. The nature of any special arrangement depends largely upon the qualification being followed and the assessment strategy employed.

- Arrangements concerning scheduled, fixed-date examinations must be agreed, where necessary, directly with the City & Guilds Operations Support department.
- Arrangements concerning N/SVQs and other non-scheduled assessments (ie verified assessment) must be locally agreed between the centre and City & Guilds EV in accordance with the qualification documents under the general responsibility of the relevant City & Guilds regional/national office.

For further information, please refer to the City & Guilds document Access to assessment and qualifications - guidance and regulations relating to candidates who are eligible for adjustments in assessment, available from:

Publications Sales
City & Guilds
1 Giltspur Street
London EC1A 9DD
Telephone: 020 7294 2850

13 Data protection

13.1 Collecting personal data

In the course of dealings with City & Guilds, a centre may need to provide us with **'personal data'** in relation to:

- employees and other staff members
- any contractors or agents used
- candidates for City & Guilds qualifications.

We may also ask centres to provide us with **'sensitive personal data'** regarding candidates only.

Under the Data Protection Act 1998 (the 'Act'):

- 'personal data' means all information which may identify a living individual
- 'sensitive personal data' means information relating to a living individual's racial or ethnic origin, political opinions, religious beliefs, mental health, sexual life, trade union membership or criminal convictions or proceedings relating to any criminal charges against such individual
- those people who may give personal information about themselves are described under the Act as **'data subjects'**.

Centres and City & Guilds may together or individually, determine the manner and the purpose for which any personal data provided is used or processed.

13.2 The Data Protection notice

As is required under the Act, when collecting personal data from data subjects, centres must ensure that data subjects are aware of what will be done with the personal information they give. This can be done using a data protection notice (see section 13). However, centres must ensure that the notice(s) used are at all times accurate and compliant with any relevant data protection laws.

The Act requires that data subjects are allowed to stop centres from processing their personal data for direct marketing purposes. The Privacy and Electronic Communications Regulations 2003 require that, in order to send direct marketing material by email, data subjects should have ticked a box on the data protection notice if they wish to 'opt in' to this type of marketing. The Act also stipulates that centres must obtain the explicit consent of data subjects where sensitive personal data is collected. As these are obligations imposed by law, we expect and assume that centres will provide the 'opt in' for direct marketing to data subjects and obtain explicit consent to processing sensitive personal data where appropriate.

If necessary, City & Guilds may ask centres to provide and show the relevant 'opt ins' and consents given by data subjects.

13.3 Processing of personal data

City & Guilds also expects centres to state in their data protection notice that City & Guilds and its agents may use or otherwise process personal data and sensitive personal data, so as to enable us to:

In relation to centres:

- fulfil our contractual responsibilities to centres and to enable centres to fulfil their contractual obligations to candidates
- provide centres with details of our on-going programmes and courses.

In relation to centres employees:

- contact them directly in relation to City & Guilds centre approval or qualifications and/or quality control purposes undertaken by City & Guilds and/or inform them of products or services offered by City & Guilds or selected third parties
- place personal data relating to certain key employees and agents in directories which may be made publicly available.

In relation to candidates:

- contact them directly in relation to City & Guilds centre approval or qualifications and/or quality control purposes undertaken by City & Guilds and/or inform them of products or services offered by City & Guilds or selected third parties
- carry out statistical analysis which may be carried out by us or selected third parties
- provide personal data or sensitive personal data (as appropriate) relating to candidates to regulatory and industry bodies, where there is an appropriate request or requirement in contract or by law, to:
 - ensure they can monitor equal opportunities relating to ethnicity or disability or other such monitoring purposes
 - account for candidates where there is a requirement to do so
 - contact a candidate directly if there is a requirement for such bodies and the information is not readily accessible by other means
 - disclose personal data relating to candidates to regulatory and industry bodies or other selected third parties solely for the purpose of providing prizes, remuneration and qualifications for candidates.

We may also need to transfer the personal data outside of the European Economic Area (EEA), subject to City & Guilds taking all reasonable steps to ensure that any such transferred data is afforded the same necessary protection as if it were being processed within the EEA.

13.4 Ongoing obligations to City & Guilds

The Act requires centres to ensure that the personal data and sensitive personal data held is accurate and up-to-date. Centres should, therefore, update records on a regular basis (ie at least once a quarter), starting from when centre approval was given, and notify us accordingly:

- if there is any change or correction to any personal data or sensitive personal data which was previously disclosed to City & Guilds
- any personal data or sensitive personal data relating to a data subject in respect of whom we also have records is deleted or archived
- if there is any exercise of an 'opt in' or objection to direct marketing
- if there is any refusal of processing by a data subject.

Centres should note that they will be responsible to City & Guilds for any loss we may suffer because of their failure to ensure compliance with the Act, or any of the obligations set out in this Data Protection section.

13.5 Example of Data Protection Notice

NB: This notice is provided by way of illustration only. It does not attempt in any way to act as a substitute for the form of notices which centres should use with employees, agents or candidates. Each group of data subjects will require a different form. For example, there may be different processing purposes required for personal data from employees than from candidates.

Centres should review the following notice with caution and, where necessary, obtain advice prior to using data protection notices. In particular the collection of sensitive personal data will require the explicit consent of the data subject.

We, [centre to complete], are required to comply with the provisions of the Data Protection Act 1998 (the 'Act') in relation to how we handle any personal data which we obtain from you. Any personal information gathered will only be used in the context of your employment with us or the business we conduct with you. We may also collect sensitive personal data relating to you but only with your explicit consent in advance.

We may process all the information we obtain from you to enable us to fulfil our contractual obligations to you. We may also request further information from third parties or disclose your details to other selected third parties, such as City & Guilds or their regulators or industry bodies.

We may from time to time send you, or your company, details about products or courses which we believe may be of interest to you. If you wish to receive this information by email please tick this box: If you have provided us with any information that you no longer wish us to use, please contact us on the telephone number given below [centre to complete].

In disclosing your personal details to us, you agree that we may process and in particular may disclose your personal data:

- as required by law to any third parties
- to selected third parties who may process personal data jointly with us or on our behalf
- [if you are a key employee or agent disclose and publish your details in directories which may contain information about [centre name]]
- to third parties [complete as appropriate]
- to City & Guilds, who may use your personal data or sensitive personal data (as appropriate) to:
 - fulfil their contractual obligations to you (eg by providing you with an examination certificate)
 - contact you directly about forthcoming courses or programmes
 - carry out statistical analysis
 - pass to their regulator or industry bodies for the following purposes (1) to monitor equal opportunities relating to ethnicity or disability or for other such monitoring purposes; or (2) to account for candidates where there is a requirement to do so; or (3) where there is a requirement for such bodies to contact a candidate directly and the information is not readily accessible by other means
 - disclose and publish your details in directories which may contain information about [centre name]
 - disclose your personal details to third parties for the purposes of providing prizes, remuneration and qualifications for candidates.

City & Guilds may also transfer your personal information outside the European Economic Area, but City & Guilds will use all reasonable efforts to ensure that any such transferred information is given the same protection and levels of security as if it were being processed within the UK.

You have the right to require us to correct any inadequacies in the personal details we hold about you and to object to any direct marketing which we carry out using your personal details. If you wish to do so, please contact at [centre to complete]. You also have the right to ask for a copy of the information held by us in our records in return for payment of a small

fee which will not exceed £10. Please contact us on [centre to complete] if you wish to obtain a copy of the personal data which we hold in relation to you.

14 Use of the City & Guilds name, logo and other trademark

City & Guilds is the best known and most respected name in vocational education and training and commands respect from candidates and employers alike. City & Guilds encourages the proper use of its name, logo and other trade marks by colleges, training providers and employers who deliver City & Guilds qualifications.

City & Guilds encourages active and approved centres to use the appropriate City & Guilds Approved Centre logo on their stationery, promotional material, prospectuses, signage and exhibition stands as well as in press adverts in order to promote courses leading to City & Guilds qualifications. Centres should not however use it on internally produced certificates and material that the centre sells to candidates.

As with any well known trade marks there are certain rules and conditions attached to their use. Our rules are designed to protect both City & Guilds and those who are given permission to use them.

In order to get clearance to use the City & Guilds Approved Centre logo or any other City & Guilds trade mark, either email **logo@cityandguilds.com** or call the brand team on 020 7294 2848.

The logo will be sent electronically in either a JPEG or EPS file together with guidelines and the current Terms and Conditions.

We are very happy to discuss any issues centres may have, or give advice and guidance on the use of City & Guilds trade marks.

15 Useful information

15.1 Abbreviations and acronyms

| | |
|-----|---|
| APU | Approval application update |
| CAF | Credit application form |
| CAP | Centre approval application form |
| EDI | Electronic data interchange |
| EV | External verifier |
| ICM | Invigilation certificate/marksheet |
| IVC | Internal verifier co-ordinator |
| IV | Internal verifier |
| QAC | Quality assurance co-ordinator |
| QCA | Qualifications and Curriculum Authority |
| QAP | Qualification approval application form |
| QC | Qualification co-ordinator |
| SQA | Scottish Qualifications Authority |

15.2 Frequently asked questions relating to the approval process

1 *How long does the centre approval process take?*

From initial receipt of the application form(s), the approval process should be completed within 30 working days. We always try to process applications as quickly as possible, but the following circumstances can cause a delay:

- incorrect completion of the Statement of Intent, CAP, QAP, and CAF forms or failure to include attachments
- availability of external verifiers and/or appropriate centre staff
- systems and resources not in place when the EV visits.

2 *How long does an approval visit take?*

Experience has shown that this normally will take at least half a day, although it may take longer if none of the systems and resources needed are apparent. During the visit the external verifier will want to ensure that systems exist for all staff involved with verification and assessment to undertake their roles and responsibilities. S/he will also seek evidence to confirm that centres have met, or have the potential to meet, the approval criteria.

3 *Who is responsible for approving the centre?*

If the application is for the purpose of practical assessments, you will receive a visit from an EV. He/she will prepare a report, in which approval will or will not be recommended. If the application is for approval to be an examination centre only, centres may not receive an approval visit, but the centre will be subject to random inspections at examination time. In both cases, the relevant City & Guilds regional/national office will notify the centre of the decision within two weeks of receipt of the external verifier's report, or application for approval to become an examinations only centre.

4 *What does 'centre' mean?*

Centre is the name given to schools, colleges, training providers and other organisations who are approved to deliver, for the purpose of assessments, City & Guilds qualifications.

5 *What is a 'satellite' centre?*

A satellite centre is a site attached to the main centre (main site is the address for the purposes of approval) and which forms part of the overall centre approval arrangements. All satellite centres are expected to meet the centre approval criteria. All communication from City & Guilds (unless requested) will be directly through the main site. It is the responsibility of staff at the main site to ensure all relevant information is communicated to staff at their satellite centres.

A satellite centre is not always an assessment site although it will have an office and staff. An assessment site is a location where a candidate is being assessed for their qualification eg the workplace - it may or may not also be a satellite centre. It may be temporary, eg roadworks or a private house where work is being carried out.

6 *What happens if the approval application is refused?*

Throughout the approval visit, the EV will be taking notes and completing a report form. Where there is insufficient evidence to satisfy the approval criteria, the EV will indicate on the action plan the areas that need to be developed further, the date by which improvements should be made and an indication of the additional evidence required. Once the action plan has been implemented, centres should contact the City & Guilds regional/national office.

7 *How long does the centre/qualification approval last?*

Once the centre has been approved, the approval status continues subject to on-going compliance with the centre/qualification approval criteria. Centres will only need to reapply if:

- the centre has not provided assessments for any qualification for a period of two years or longer
- approval has been withdrawn because the centre approval criteria is no longer being met
- a qualification has an end date in place for final certification, ie the date after which no more certificates will be issued for that qualification.

8 *If the centre is approved by another awarding body, do they have to go through the City & Guilds approval process?*

Yes, all prospective City & Guilds centres are required to complete the approval documentation and go through the approval process. This is to ensure that:

- centres have in place systems that meet the requirements of City & Guilds for administrative purposes
- qualification requirements are understood by appropriate staff and advice on best practice can be discussed.

9 *Where should centres send their Statement of Intent, CAP/QAP/CAF Forms?*

These should be sent to the regional/national City & Guilds office. Contact details can be found on the inside front cover of this document.

10 *Do centres pay for EV visits?*

There is no charge for a routine EV visit. However, if a centre requires an additional visit, a charge will be made. Possible reasons for requesting an additional visit could be that the centre requires more guidance and advice specific to assessment and/or qualification related issues, or for inducting staff new to the centre/assessment process.

- 11 *How often do centres get an EV visit?*
- This is dependent on a number of factors including the size, activity and risk rating of individual centres. Those centres offering N/SVQs generally receive two routine EV visits per year which depending on risk factors could be in addition to or replaced by remote monitoring activity. Those centres offering non-N/SVQ qualifications with a coursework or practical assessment normally receive one visit per year.
- 12 *What happens if a centre cancels their visit?*
- When a centre finds it absolutely necessary to rearrange the date for an external verifier's monitoring visit, this should be done well in advance; at the very latest, five working days before the visit is due. Should a visit be cancelled later than this, City & Guilds is liable to incur costs and reserves the right to charge the centre for the rearranged visit, as an additional visit.
- 13 *Will there be occasions when a visit will take place without prior notice?*
- Yes, City & Guilds and the regulatory authorities reserve the right to perform visits at short notice or without prior notification.
- 14 *Can I register candidates as soon as I am approved?*
- When centres receive formal notification that approval has been granted, they will receive a centre number which will enable you to register candidates for the qualification(s) detailed on your completed QAP form(s).
- 15 *Does a centre have to have a QAC?*
- Yes, a centre will need to have a person who is responsible for ensuring that the management, administrative and quality assurance systems for all City & Guilds qualifications are properly maintained throughout the centre, and who will act as a central point of contact for City & Guilds. Centres may already have such a person in place who is known by a different title, such as the Quality Manager. In small centres, one person may hold more than one role ie the IV could also be the QAC.

15.3 Frequently asked questions relating to assessment and internal verification

- 16 *What qualifications should assessors have?*
- Assessors should have sufficient occupational expertise as defined by the awarding body and/or the Standards Setting Body (SSB) for that sector, and understand the qualification criteria as contained in the relevant qualification pamphlets. If they are assessing N/SVQs, they should understand the relevant national standards, and also hold the appropriate assessor qualifications as approved and specified by the regulatory authorities within 18 months of commencing their role). Assessment decisions made by unqualified assessors must be supported and countersigned by a qualified assessor.
- 17 *What qualifications should IVs have?*
- Internal verifiers should have sufficient occupational expertise as defined by the awarding body and/or the Standards Setting Body (SSB) for that sector, and understand the qualification criteria as contained in the relevant qualification pamphlets. If they are internally verifying N/SVQs, they should understand the relevant national standards, and also hold appropriate internal verifier qualifications as approved and specified by the regulatory authorities. Check SSB requirements for the need for appropriate assessor qualifications. Assessment decisions made by unqualified internal verifiers must be supported and countersigned by a qualified internal verifier.
- 18 *Do all my assessors and IVs need to hold the appropriate assessor/IV qualifications before we can become a centre?*

No, assessors/internal verifiers can be working towards achieving the qualification(s), and will have 18 months from the start of assessment/internal verification to obtain them. However, assessment decisions made by unqualified assessors must be supported and countersigned by a qualified assessor/internal verifier. Therefore, a centre's qualification approval application must name qualified assessors/internal verifiers for this purpose.

19 *What happens if a centre hasn't got a qualified IV?*

It is the responsibility of the centre, to ensure that they have suitable qualified personnel in post. In the case of small centres, as an interim measure only, City & Guilds may offer the services of an EV to take on the role of an IV. Individual cases will need to be discussed with the City & Guilds regional/national office.

20 *How many IVs does a centre need?*

If a centre has two assessors, they will need at least one IV. However, it should be noted that an IV cannot internally verify his/her own assessments.

21 *How can a centre's assessors and IVs obtain their assessor/IV qualifications?*

While it is best practice to develop team members, it is not seen as good practice for a centre to train and assess their own staff for the assessor/IV qualifications, especially within a centre with a small number of staff. City & Guilds are aware that there are centres who have to train and develop their own staff for numerous reasons, but where possible, they should register with externally approved centres who offer the appropriate qualifications as approved and specified by the regulatory authorities. Details of these can be obtained from the City & Guilds regional/national sales office.

22 *How much sampling should an IV do?*

The internal verification process should confirm the accuracy of assessment decisions within the centre. The basic requirements are that some aspect of the work of all candidates should be sampled before their certificate is requested and that over time all assessors and the full range of the qualifications are covered. A flexible approach to sampling should be adopted, so that internal verifiers who have confidence in the integrity of the centre's assessment process (once it has matured) will sample more lightly, but still cover all assessors, assessment sites and types of evidence. Best practice is that the internal verifier achieves this by thorough planning which must at least in part include observing candidate assessments. The Qualifications and Curriculum Authority (QCA) has produced a document called Internal Verification of NVQs which addresses the issue of sampling for internal verifiers. There is additional advice on sampling in the Joint Awarding Body Guidance on Internal Verification of NVQs and City & Guilds document Guidance on internal verification of N/SVQs.

23 *Does a centre have to have an IVC?*

It is good practice for centres to have an IVC for qualifications involving two or more IVs, although this is not mandatory. However, if there are two or more IVs operating at a centre, frequent standardisation meetings should be held by the IVs to ensure standardisation of assessment across the centre.

24 *Do all of the assessors have to work for my organisation?*

No, although candidates should have access to a qualified assessor. This need can be met by the use of work-based assessors, who are often the candidate's immediate line manager. There is also a greater uptake in the use of peripatetic assessment in order for candidates to have access to assessment. In both instances, assessors need to be integrated into your centre's internal verification plan.

25 *Do we need an internal verifier for non-N/SVQs?*

City & Guilds has adopted the policy that it will implement as much as possible of the NVQ Code of Practice (2006) across all of its vocational qualification provision that is externally verified, not only NVQs.

Currently this is only a requirement for N/SVQs. However, it is good practice to adopt the N/SVQ method of internal verification for non-N/SVQs.

This role is often undertaken by the Qualification Co-ordinator, or manager. If this is not possible, and there are two or more assessors, it is good practice for the assessors to hold frequent standardisation meetings.

26 *Can staff other than assessors contribute to the assessment process?*

Yes, if specified in the standards/qualification pamphlets, work colleagues can confirm a candidate's competence of part of the qualification by issuing a witness testimony. This is a written statement to confirm that they have consistently worked to the set standard(s), or met the qualification criteria.

27 *What is a peripatetic assessor?*

An assessor who moves between different assessment sites in order to carry out assessment. They normally operate in larger working situations where, for a variety of reasons, the candidate may not have access to a work-based assessor.

28 *What happens if a candidate cannot obtain access to the workplace?*

Before a candidate enrolls for a qualification, consideration should be given to the appropriateness of the qualification, as after all, N/SVQs are predominately a work-based qualification. Some non-N/SVQs also require work-based placements in order for the candidate to complete the course. If this is the case, consideration should be given to other qualifications which do not require access to the workplace prior to the candidate registering for the course.

29 *How long must a centre keep candidate assessment/verification records?*

City & Guilds requires all centres to retain assessment records for a period of three years from the date of final certification (please note that this is a regulatory and City & Guilds requirement, and may not satisfy the requirements of funding bodies).

30 *What is GOLLA?*

GOLLA stands for Global online assessment. City & Guilds' GOLLA system allows you to test your City & Guilds candidates whenever you want, 24 hours a day, 365 days a year, anywhere that has a networked computer.

15.4 Other frequently asked questions

31 *Who owns the portfolio?*

A portfolio of evidence is the property of the candidate and remains the property of the candidate when s/he leaves the centre. An EV may wish to see the portfolio after the candidate has been awarded a certificate, on the next centre visit, but not thereafter. It is however, advisable that centres have their own policy and procedures with regard to evidence that is of a confidential nature, which the centre would not want to leave their premises.

32 *Who owns the certificate?*

The candidate is the owner of the certificate. However, if any discrepancies are raised concerning validity and authenticity of the candidate's work, or due to poor assessment activity within the centre, City & Guilds reserve the right to recall and invalidate the certificate.

33 *How long does it take to complete a qualification?*

Specific qualification guidance notes contain recommended learning hours. Many vocational qualifications (non-N/SVQs) are designed with suggested 'guided learning hours' in mind. The design of some qualifications may incorporate approximately 600

hours worth of learning via a program delivered at an approved centre. This is equivalent to enrolling on a two year full time course of study. Alternatively, City & Guilds offer qualifications which only require a program of ten hours teaching time. However, N/SVQs are candidate led, therefore it can take some candidates less time to complete a qualification than their peers. If a candidate has prior experience, recognition may be achieved by the accreditation of prior learning, thus reducing the time it would take to complete a qualification.

34 *What is a learner?*

A person on a learning or development programme.

35 *What is a candidate?*

A person who is registered with City & Guilds for a qualification or unit.

36 *What happens when standards expire or qualification criteria change?*

When N/SVQ standards expire (expiry date set by the regulators), no more registrations are allowed for the qualification. However, those candidates already registered will be allowed to achieve the qualification up until the final certification end date. For vocational qualifications (non-N/SVQs), centres are notified of any changes to the criteria contained within the qualification pamphlet(s), and there is normally a two year phasing out period. Centres are informed of similar qualifications within the sector and the new qualification in cases where it has changed significantly to meet the needs of the marketplace.

37 *What is the Walled Garden?*

City & Guilds' Walled Garden is a unique online administration service that saves you time, money and paperwork. It has been developed especially to enable City & Guilds centres to carry out a range of day-to-day functions quickly and efficiently online. This free, secure service is available 24 hours a day, seven days a week and allows centres to undertake candidate enquiries, centre/qualification approval enquiries, candidate registration, dated entries, results entries and search for qualifications.

38 *What is EDI?*

EDI (electronic data interchange) centres may make registrations and entries or submit results from their computerised administration system electronically as a data file which can be sent to us either via the Walled Garden or as an attachment to our dedicated email address: edi@cityandguilds.com

39 *What is SmartScreen?*

SmartScreen.co.uk provides dedicated online support for tutors, assessors and learners of City & Guilds qualifications. Developed by City & Guilds, SmartScreen.co.uk provides you with online support which includes qualifications of work, lesson plans, assignment preparation, individual learning plans, mock assignments, career guidance and much more.

40 *What is remote monitoring?*

Remote monitoring can be used as an alternative, or in addition to, an external verifier visit. It is used to sample and verify centre records and candidate evidence remotely from the centre. Centres must pay postage costs to send assessment records/portfolios to the external verifier as requested.

41 *What does 'accreditation' mean?*

This is the process through which the regulatory authorities approve awarding body qualifications for admittance to the National Qualifications Framework (NQF). Qualifications on the NQF are eligible for funding from government agencies such as the Learning and Skills Council (LSC)

42 *Are centres required to use City & Guilds supplied logbooks?*

Where logbooks are provided upon registration, these should be used by the candidates. If they are sold separately, it is strongly recommended that these are purchased and used in order to ensure that the correct standards are being implemented. City & Guilds has also developed a generic candidate logbook to provide guidance on the assessment process and recording documentation. This outlines the requirements of an evidence recording mechanism and includes a proforma portfolio.

15.5 Glossary

| | |
|--|--|
| Approval (centre) | A process through which a centre wishing to offer particular qualifications is confirmed as being able to maintain the required quality and consistency of assessment. |
| Assessment | The process through which evidence of candidates' attainments is evaluated against agreed criteria to provide the evidence for a qualification. |
| Assessor | A person appointed by the centre responsible for the initial judgement of candidate performance against defined standards expressed as assessment criteria or mark schemes. |
| Awarding body | An organisation such as City & Guilds that offers widely recognised qualifications. Its main functions are the design and operation of assessment and quality assurance systems for qualifications. An awarding body issues certificates or certificates of unit credit to candidates achieving the requirements of a qualification. |
| Centre | An organisation (such as a school, college or workplace) accountable to an awarding body for the assessment arrangements leading to a qualification. |
| Code of Practice | Criteria specified by the regulatory authorities against which the practices and procedures of awarding bodies are designed and evaluated, such as the NVQ Code of Practice. |
| External verifier | A person appointed by an awarding body to monitor and assure the assessment process (see page 11). |
| Internal verifier | The person appointed by the centre to co-ordinate the assessment process internally (see page 8). |
| Level | A broad measure of the overall demand of a qualification (for example, a candidate may gain an NVQ at level 4). |
| Moderation | The process of checking assessors' judgements of candidates' competence with the view to correcting them through advice and instruction if the assessment is not up to standard. These checks are carried out by both internal and external verifiers. There is also 'network moderating' or standardisation, by asking participants to rate model portfolios. In GCSE practice, external verifiers are referred to as moderators. |
| National occupational standards | Standards of occupational competence developed by a Standards Setting Body (SSB) and approved by the regulatory authorities. |
| Qualification | A certificate of achievement or competence specifying awarding body, qualification title. |
| Quality of assessment | Refers to the various procedures that awarding bodies adopt to ensure that testing and assessment are carried out in a valid, reliable, fair and cost-effective manner (note that the principles of a good quality assessment may be endless). |

The City & Guilds quality of assessment system identifies five broad criteria which when applied to N/SVQs help to ensure validity, reliability and access. These are (see framework overleaf):

Quality of assessment (continued)

Quality of preparation: where the focus is on the origin of the standards of competence (eg adequacy of methodology of job analysis) as well as the policies of the various bodies involved in the qualification (eg awarding bodies)

Quality of the standards of competence: where the focus is on the adequacy and relevancy of the units, elements and performance criteria.

Quality of assessment: where the focus is on the adequacy of both the process and instruments of assessment.

Quality of verification: where the focus is on the adequacy of both internal and external verification

Quality of monitoring: where the focus is on the analysis of the level of demand and success in a qualification as well as the reasons that led to some particular results.

The aim of the framework is to both encourage maximum rigour (in terms of validity and reliability of the processes and the tools/instruments used) as well as to permit the access to a qualification by any member of a population capable of achieving it. The access aspect of the framework entails being aware of the cost and practical issues that relate to various tools and methodologies under consideration use in an assignment system. It also requires special consideration for certain groups (eg gender, class, race, disability, ethnicity etc) of the population who may be overlooked during standards development and assessment design so as to avoid making unnecessary demands on them. The framework is also an attempt to illustrate the interdependence of its various 'quality stages'. This necessitates some forms of co-operation between the various bodies involved in the development of a particular qualification.

Regulatory authority

An organisation designated by Parliament to establish national standards for qualifications and to secure consistent compliance with them, such as QCA.

Standards

Generally refer to competence statements and specifications. In N/SVQ system, standards are a short expression for standards of competence which are developed by a Standards Setting Body (SSB). These define what an individual working in an occupational area is expected to be able to do. They are further specified in terms of performance criteria, range and their corresponding underpinning skills and knowledge.

Standards Setting Body (SSB)

An organisation recognised by a regulatory authority as responsible for formulating standards of competence for an employment sector and keeping them under review.

Verification

Quality assurance procedure to monitor locally based (devolved) assessment (for N/SVQs or other vocational awarding bodies' qualifications). Verification includes inspection of procedures and sampling of assessments by a co-ordinator from the centre (ie internal verifier) and by a person nominated by the awarding body (ie external verifier).

15.6 Useful documents

Useful policy and practice documents which may be read in conjunction with Providing City & Guilds qualifications:

Regulatory documents

- The *NVQ Code of Practice* (for centres delivering NVQs each internal verifier should have their own copy)
- SQA Awarding Body Criteria (2007)

City & Guilds documents

Centres should hold copies of the following documentation, provided by City & Guilds, for reference to policy, practice and requirements:

- *Providing City & Guilds qualifications*
- approval documentation
- records of agreements with organisations participating with the centre
- external verifier reports/visit planners/action plans
- candidate registration and certification records
- *Access to assessment and qualifications*
- *Ensuring quality*

Guidance on internal verification of N/SVQs

- the catalogue
- subject specific updates and guidance

15.7 For further information

For further information regarding centre/qualification approval or any aspect of assessment of our qualifications you should refer to the relevant City & Guilds regional/national office. Their details can be found on the map at the beginning of this document.

For general enquiries contact the City & Guilds Customer Relations Unit. Telephone: 020 7294 2800. Facsimile: 020 7294 2400. Or visit our website: **www.cityandguilds.com**

New centre's statement of intent



Centre details

Centre no Centre name

(if applicable)

Qualification no Qualification name

Centre address

..... Postcode

Telephone no Fax no

Name of quality assurance co-ordinator

Official title

This centre intends to apply for approval and in order to do so, understands that it will need to:

- enclose a cheque for City & Guilds centre approval fee in the amount of £1500 (non-refundable) for fee details relating to Higher Level Qualifications (HLQs) applications, write to: The Higher Level Qualifications team, 1 Giltspur Street, London, EC1A 9DD
- complete Forms CAP, QAP fully, accurately and honestly
- give all reasonable access and cooperation to City & Guilds in matters related to becoming a City & Guilds centre in accordance to City & Guilds requirements
- immediately notify any changes to the information given in Forms CAP and QAP (including staffing) to the appropriate City & Guilds representative, both during the approval process and (if the centre is approved) after approval is given
- comply with the requirements (including codes of practice) of any regulatory authority relevant to the centre (if it is approved)
- comply with the City & Guilds minimum annual invoice level
- use electronic systems for processing candidate registration and certification transactions.

Signature of head of centre Date

Name (block capitals)

Official title

Office use only

Confirmation of acceptance

Signature of Quality Manager Date

Application for centre approval



Form CAP
Version 5.2

Please keep this form as a master copy.

Submit this form **only** if your organisation is **not** currently approved to offer any qualifications through City & Guilds. **It should be completed with reference to other appropriate sections of *Providing City & Guilds qualifications - a guide to centre and qualification approval*.**

If completing this form by hand, please use **black ink** and **block capitals**.

Please enter appropriate details. All formal correspondence and documentation will be sent to the address you provide.

Name of centre

Address

.....

.....

..... Postcode

Telephone no (landline) Fax no

Email address

2.1 Name of person who will be responsible for the quality assurance of all the City & Guilds qualifications your centre intends to offer. This person will be referred to as the Quality Assurance Co-ordinator (QAC).

.....

Email address

2.2 Official position

2.3 Telephone no Fax no/email address
(if different from above) (if different from above)

3. Type of organisation (eg further education, higher education, adult education, school 6th form, training organisation, prison/young offenders, X intercompany, Ministry of Defence, internal training dept, CG agent/internal)

.....

4.1 Please tick ✓ the box if your centre is involved with any quality assurance programme
 eg ISO/BSI, Scottish Quality Management System (SQMS), Total Quality Management (TQM)

4.2 If you ticked the box in 4.1, please state the organisation(s), agency(ies) or quality assurance initiative(s) concerned and indicate the date of your last inspection (if applicable).

| Quality assurance organisation/agency/initiative | Date of last inspection |
|--|-------------------------|
| | |
| | |
| | |
| | |

5 Please tick ✓ the appropriate box(es) to indicate the range of qualifications for which you will be seeking qualification approval.

| | |
|---|--|
| <input type="checkbox"/> N/SVQs | <input type="checkbox"/> Other vocational qualifications |
| <input type="checkbox"/> Other general education qualifications | <input type="checkbox"/> Customised qualifications |

6.1 Please tick ✓ the appropriate box(es) to indicate whether delivery and/or assessment of the qualifications will be offered at any satellite sites.

| | |
|---|--|
| <input type="checkbox"/> N/SVQs | <input type="checkbox"/> Other vocational qualifications |
| <input type="checkbox"/> Other general education qualifications | <input type="checkbox"/> Customised qualifications |

6.2 If you ticked any of the boxes in 6.1

briefly describe the geographical spread of the satellite sites and state the number of sites in each location

.....

.....

.....

.....

briefly explain the relationship between your centre and its satellite sites.

.....

.....

.....

6.3 Please tick ✓ the appropriate box if you wish assessments to be undertaken through the medium of Welsh or bilingually.

Yes No

If yes, briefly describe your requirements

.....

.....

6.4 Please tick ✓ the method of electronic facility your centre wishes to adopt for the purposes of candidate transactions (electronic medium is mandatory).

Walled Garden EDI (Electronic Data Interchange)

7.1 If your centre is currently offering any of the following qualification types through other awarding bodies, please indicate in the appropriate box(es) the number of qualifications offered for each type.

N/SVQs Other vocational qualifications

GNVQs Other general education qualifications

Academic or professional qualifications

7.2 Please state the names of the main awarding bodies concerned in relation to 7.1 and centre number allocated.

| Awarding body | Centre no |
|----------------------|------------------|
| | |
| | |
| | |
| | |

8 Please tick ✓ the appropriate boxes to indicate whether your centre has had a previous application for centre approval withheld or approval withdrawn, and by whom.

| Approval withheld | Yes | No | Approval withdrawn | Yes |
|--------------------------|--------------------------|--------------------------|---------------------------|---|
| No | | | | |
| by City & Guilds | <input type="checkbox"/> | <input type="checkbox"/> | by City & Guilds | <input type="checkbox"/> <input type="checkbox"/> |
| by another awarding body | <input type="checkbox"/> | <input type="checkbox"/> | by another awarding body | <input type="checkbox"/> <input type="checkbox"/> |

City & Guilds may be required to pass this information on to regulatory authorities and/or Government bodies.

- 9 The evidence you intend to present at the time of the approval visit should be identified in the box headed 'your evidence'. Examples are provided, although alternative evidence, so long as this satisfies the criteria, is acceptable. **Please be specific and refer to your actual documents/systems/procedures by name if available.**

For N/SVQ qualifications, all criteria must be satisfied, the same is not always mandatory for vocational qualifications. For such vocational qualifications, you are advised to consider the appropriate requirements, and to present relevant evidence accordingly.

External verifiers undertaking qualification approval/verification visits will require access to the evidence cited on your application form(s). All approved centres are audited by City & Guilds to ensure continuing compliance with centre/qualification approval criteria. By submitting an application for approval, the centre is committing itself to maintaining the arrangements that meet those criteria.

| Criteria | Examples of evidence | Your evidence |
|---|--|---------------|
| C1 The centre has/will develop aims and policies for promoting, implementing and reviewing the qualifications for which approval is sought. | Confirmation via centre marketing materials/business plan. | |
| C2 Procedures are specified for communicating throughout the centre about the implementation of the qualifications. | Communication flowcharts Written/oral explanation of procedures used/to be used. | |
| C3 Procedures are specified for communicating between the teams responsible for implementing the qualifications/examinations. | Centre QAC identified Confirmation that schedules/records of team meetings will be maintained Written/oral explanation of procedures used/to be used (eg candidates' initial assessment procedure). | |
| C4 The roles, responsibilities, authorities and accountabilities of the assessment and verification team across all assessment sites are clearly defined, allocated and understood. | Records of all assessment sites and personnel Documented quality assurance procedures An organisational chart Documented and signed agreements indicating the lines of accountability of partner organisations in relation to the management of assessment and internal quality assurance CVs of the assessors and internal verifiers. | |

| Criteria | Examples of evidence | Your evidence |
|--|---|---------------|
| C5 Procedures for maintaining and updating databases (IT or manual) are specified. | Database seen in operation Written/oral explanation of procedures used/to be used. | |
| C6 External administrative requirements will be fulfilled promptly and correctly. | Knowledge and understanding of the requirements are demonstrated Written/oral explanation of procedures used/to be used. | |
| C7 Resources in relation to individual qualification requirements will be identified and provided (if applicable) and comply with relevant health and safety acts. | Procedures used/to be used for reporting to senior management on resource availability and additional needs Procedures used/to be used to identify resource deficiencies and to prioritise and meet resource needs Documented health and safety policy A safe in a secure room/area for the retention of examination/assessment material. Employer liability certificates Public liability certificates (as appropriate) | |
| C8 Staff will be allocated sufficient time to undertake their designated roles and responsibilities. | Details of candidate induction programme and arrangements for assessment planning Written/oral explanation of guidance and support systems for reviewing candidate/assessor/IV performance and acting on the review Written/oral confirmation that sufficient time will be allocated for providing candidates with information/advice/support. | |
| C9 Staff development needs will be systematically reviewed. | Written/oral explanation of the process used to identify and meet staff development needs. | |

| Criteria | Examples of evidence | Your evidence |
|--|---|---------------|
| C10 A staff development programme is/will be provided. | <p>Details of induction programme for staff new to the qualifications</p> <p>Information on recent/planned staff development events</p> <p>Details of arrangements to enable assessors and internal verifiers to achieve the relevant qualifications (where appropriate)</p> <p>Details of arrangements to support unqualified assessors and internal verifiers while they are working towards qualification (where appropriate)</p> <p>Written/oral explanation of procedures for taking remedial action to support staff experiencing difficulties.</p> | |
| C11 There is an appeals procedure which is documented and made available to candidates (see Section 11). | <p>Documented appeals procedure including details of grounds for appeal and timescales</p> <p>Records of appeals made and outcomes.</p> | |
| C12 Unit certification is/will be available (where this is appropriate). | <p>Candidate records</p> <p>Reference to unit certification in centre marketing materials (where this is appropriate).</p> | |
| C13 An effective system for quality assurance of assessment is in place/will be developed. | <p>Quality assurance flow/organisational chart showing roles, responsibilities and reporting lines</p> <p>Written/oral explanation of procedures used/to be used for reviewing/evaluating/improving quality assurance and for acting on feedback from quality assurance meetings/reviews</p> <p>Written/oral explanation of procedures used/to be used for providing quality assurance information and support to satellite sites.</p> | |

| Criteria | Examples of evidence | Your evidence |
|--|---|---------------|
| C14 The centre has/will develop an explicit policy on equal opportunities. | <ul style="list-style-type: none"> • Copy of the policy and/or details of how it is/will be made known to all those involved with assessment. | |
| C15 The centre's access to assessment policy and practice is understood and complied with by candidates and assessors. | <ul style="list-style-type: none"> • Documented policies and procedures • An action plan for the implementation of the equal opportunities. | |
| C16 Information, guidance and advice on equal opportunities is/will be provided for new candidates, staff and work providers. | <ul style="list-style-type: none"> • Relevant information, and details of how this is provided to all those involved with assessment. | |
| C17 The recording system design enables/will enable candidates' achievements to be evaluated in relation to the centre's equal opportunities policy. | <ul style="list-style-type: none"> • Example of record forms. • Written/oral explanation of procedures used/to be used. | |
| C18 Welsh language policy and procedures are in place or under development (where applicable). | <p>Availability of procedures to ensure equal treatment for candidates undertaking assessment through the medium of Welsh</p> <p>In Wales, policies and procedures to promote an understanding of language sensitivity and assessment opportunities in Welsh with respect to the delivery of City & Guilds qualifications</p> <p>Assessment systems and structure which allow assessment opportunities in Welsh to be promoted.</p> | |

NB. For evidence relating to C14 – C17, the EV will be looking at examples of policy and practice of implementation and review.

10 Declaration (to be signed by head of centre on behalf of the centre)

I declare that the information contained in this application is correct and current, and that I am authorised to sign on behalf of the centre.

The centre agrees that:

this application will, if accepted by City & Guilds, form the agreement between the centre and City & Guilds, and the centre will submit an approval application update if there are any changes to the information in it

it will operate according to City & Guilds policies, regulations, requirements, procedures and guidelines and any revisions or additions to those policies, regulations, requirements, procedures and guidelines which apply from time to time.

Surname Forename Title
(BLOCK CAPITALS)

Official position

Signature Date

Please send this form and one copy of it to the appropriate City & Guilds regional/national office (refer to map at the front of *Providing City & Guilds qualifications*). Ensure you include all attachment sheets, and other documents specified in Section 4. Retain one copy for your records.

Application for qualification approval



Form QAP

Version 5.2

Please keep this form as a master copy.

You should submit a **separate** form for **each** qualification for which you are seeking approval. **Each form should be completed with reference to other appropriate sections of *Providing City & Guilds qualifications - a guide to centre and qualification approval***, and any documents specifying particular requirements for individual qualifications. Those centres seeking approval for the purpose of examinations only do not need to complete Section 11 of this form.

Note: Any centre may apply to offer City & Guilds qualifications. However approved centres should be aware that:

- the QCA logo, printed on NVQ certificates, indicates that the qualification is only accredited in England, Wales and Northern Ireland
- the SQA logo, printed on SVQ certificates, indicates that the qualification is only accredited in Scotland.

If completing this form by hand, please use **black ink** and **block capitals**.

| | | | | | | |
|---|---|--|--|--|--|--|
| 1 | Number and title of qualification for which approval is sought. Number | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> </tr> </table> | | | | |
| | | | | | | |
| | Title | | | | | |

| | | | | | | | | | | |
|---|---|--|--|--|--|--|--|--|--|--|
| 2 | Name of centre | | | | | | | | | |
| | City & Guilds centre no (if allocated) | | | | | | | | | |
| | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> <td style="width: 20px; height: 25px;"></td> </tr> </table> <table border="1" style="display: inline-table; border-collapse: collapse; margin-left: 10px;"> <tr> <td style="width: 20px; height: 25px;"></td> </tr> </table> | | | | | | | | | |
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| | City & Guilds regional/national office (eg Eastern) (see map at the front of this document) | | | | | | | | | |

| | |
|---|---|
| 3 | Please refer to Section 3 for information on the roles of the internal verifier, internal verifier co-ordinator, qualification co-ordinator and quality assurance co-ordinator and enter the appropriate details. Where there is only one internal verifier/qualification co-ordinator involved with the qualification, please enter the name as requested. In this case, s/he will be required to carry out the liaison function of the internal verifier co-ordinator, as described in Section 3. |
| | Name of internal verifier*/ internal verifier co-ordinator*/ qualification co-ordinator* or quality assurance co-ordinator* (please delete as applicable*) |
| | Name |
| | Contact telephone number |

| | | | | | | |
|---|--|--------------------------|--------------------------|---------------------------|--------------------------|--------------------------|
| 4 | Please tick ✓ the appropriate boxes to indicate whether your centre has had a previous application for qualification approval withheld or approval withdrawn, and by whom. | | | | | |
| | Approval withheld | Yes | No | Approval withdrawn | Yes | No |
| | by City & Guilds | <input type="checkbox"/> | <input type="checkbox"/> | by City & Guilds | <input type="checkbox"/> | <input type="checkbox"/> |
| | by another awarding body | <input type="checkbox"/> | <input type="checkbox"/> | by another awarding body | <input type="checkbox"/> | <input type="checkbox"/> |
| | City & Guilds may be required to pass this information on to regulatory authorities and/or Government bodies. | | | | | |

5.1 Details of the full qualification(s) you wish to offer. Complete this section if you intend to provide assessments in all units/components or in a particular group of units/components, leading to a full qualification.

* Please refer to the City & Guilds catalogue shop, relevant documentation, or website for further information – www.cityandguilds.com

| Qualification title | Qualification no | Level | Date of first Assessments (approx) | No of registrations/ Entries (approx) | |
|---------------------|------------------|-------|------------------------------------|---------------------------------------|--------|
| | | | | Year 1 | Year 2 |
| | | | | | |
| | | | | | |
| | | | | | |
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| | | | | | |

5.2 Details of the units/modules/components you wish to offer for this qualification, if you do not intend to provide the full qualification.

| Unit/module/ component no | Date of first assessments (approx) | No of registrations /entries (approx) | | Unit/module/ component no | Date of first assessments (approx) | No of registrations /entries (approx) | |
|---------------------------|------------------------------------|---------------------------------------|--------|---------------------------|------------------------------------|---------------------------------------|--------|
| | | Year 1 | Year 2 | | | Year 1 | Year 2 |
| | | | | | | | |
| | | | | | | | |
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| | | | | | | | |

6. Please provide brief details of your proposed candidate intake for this qualification, indicating whether candidates will be in full or part time education/training/employment or unemployed. Please provide relevant information if any candidates require assessments to be undertaken using the medium of Welsh or bilingually.

.....

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.....

7 Are you using any form of electronic portfolio? Yes No

If yes, please specify the system used

(see *Ensuring Quality* for further information)

8 Are you an approved GOLA centre? Yes No

The qualification you are applying for may require you to use the GOLA testing system. If you are not a current approved GOLA centre, please complete the Global online assessments test centre profile form which can be found on www.cityandguilds.com/gola.

Please photocopy this page if more space is required

Page [] of []

(Number all sheets submitted)

You must identify assessment sites to be used

9 If applicable, please list names, addresses and telephone numbers of all sites at which assessments/ examinations for the qualification are to be offered. (May include the candidate(s) workplace).

Loc ref: 9.1

Loc ref: 9.2

Loc ref: 9.3

Loc ref: 9.4

Loc ref: 9.5

Loc ref: 9.6

Please photocopy this page if more space is required

Page [] of []

(Number all sheets submitted)

10 Details of each internal verifier/internal verifier co-ordinator/qualification co-ordinator (as applicable), assessor and quality assurance co-ordinator (as applicable) who will be involved with the qualification.

Refer to the column headings reproduced below and complete the form as indicated.

| | |
|----------------------|--|
| Name | provide the name of each internal verifier (IV)/internal verifier co-ordinator (IVC)/qualification co-ordinator (QC)/assessor (A)/peripatetic assessor (PA)/tutor (T)/quality assurance co-ordinator (QAC). |
| IV/IVC/QC/A/PA/QAC/T | using the appropriate abbreviation, indicate which role(s) the named person will be undertaking. |
| Loc ref | this is the number which corresponds to the sites you listed (if any) in Section 8 of the form. Use this number to indicate the site at which the IV/IVC/QC/A/T/PA/QAC is based. Leave blank if the named person is based at the main centre address. |
| Occ/sub exp | tick this box to confirm that the IV/IVC/QC/A/PA/T/QAC has the occupational or subject-specific expertise necessary to perform the role. The EV will expect to see proof of occupational competence via certifications and/or CVs (please refer to individual qualification documentation for details) |
| V1/D34/A1/D33/A2/D32 | tick the appropriate box(es) to indicate the unit(s) achieved (if applicable) |

| Name | IV/IVC/ QC/A/T PA/QAC | Loc ref | Occ/ sub exp | V1/D3 4 | A1/D3 3 | A2/D3 2 |
|------|-----------------------------|------------|--------------------|------------|------------|------------|
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- 11 With the exception of applications for approval of written examinations only, the evidence you intend to present at the time of the approval visit should be identified in the box headed 'your evidence'. Examples are provided, although alternative evidence, so long as this satisfies the criteria, is acceptable. Please be as specific as possible and refer to your actual documents/systems/procedures name, if available.

For N/SVQ qualifications, all criteria must be satisfied, this is not always mandatory for vocational qualifications. For such vocational qualifications, you are advised to consider the appropriate qualification requirements, and to present relevant evidence accordingly.

External verifiers undertaking qualification approval/verification visits will require access to the evidence cited on your application form(s), plus any additional evidence upon request.

All approved centres are audited, by City & Guilds, to ensure continuing compliance with centre/qualification approval; by submitting an application for approval you are committing yourselves (ie, you, the centre) to maintaining the arrangements which meet the criteria.

| Criteria | Examples of evidence | Your evidence |
|--|---|---------------|
| Physical resources | | |
| Q1 There are arrangements to ensure that equipment, procedures and accommodation are sufficient, safe and fit for use. | Inspection of site to evaluate safety and adequacy of resources Records of equipment maintenance and accommodation checks Written/oral explanation of how candidates will get access to scarce or specialist equipment. | |
| Staff resources | | |
| Q2 There are sufficient occupationally competent and qualified assessors to assess for the qualification. | Criteria for appointment of assessors Curriculum Vitae for each assessor Copies of certificates achieved. | |
| Q3 There are sufficient occupationally competent and qualified IVs/QC to ensure quality assessments. | Criteria for appointment of IVs/QCs Curriculum Vitae for each IV/QC Copies of certificates achieved. | |

| Criteria | Examples of evidence | Your evidence |
|--|--|---------------|
| Q4 IVs/QCs have appropriate access to assessors for assessment decisions and practices to be regularly reviewed and acted upon to ensure consistent fair assessment. | Schedules/records of meetings or other contact between IVs/QCs and assessors Confirmation that sufficient time is allocated for above Internal verification plans | |
| Q5 Sufficient time is allowed for administering the programme. | Work schedules/timetables. | |
| Assessment | | |
| Q6 There is effective communication within the assessment team and with the awarding body. | Staff handbooks and updates Organisational charts Minutes of team meetings Records of communication with the awarding body. | |
| Q7 Information, advice and guidance on assessment is provided to candidates and to potential candidates. | Written/oral explanation of how candidates can access information and guidance on assessment Written/oral explanation of how candidates are provided with appropriate documentation | |
| Q8 An appropriate range of assessment methods is used. | Confirmation via candidate records that assessment methods are appropriate to candidates' needs and cover the range of competences across which candidates will be assessed to meet qualification requirements Statement of opportunities centre can provide for evidence collection and assessment Examples of assessment plans Examples of internally-devised assessment materials Examples of draft assignments | |

| Criteria | Examples of evidence | Your evidence |
|---|--|---------------|
| Q9 Candidate's development needs are matched against the requirement of the qualification and an agreed assessment plan is established. | Candidate initial assessment procedure Candidate assessment plans Candidate/trainee contracts. | |
| Q10 Candidates have regular opportunities to review their progress and goals and to revise their assessment plan accordingly. | Candidate assessment plan Examples of revisions to assessment plans. | |
| Q11 Accurate records of the assessment of candidates are maintained. | Example record of a candidate's progress from registration to certification Flowchart or other document showing recording system Information on number of candidates undertaking each qualification Written/oral explanation of recording system used/to be used. | |
| Q12 Appropriate provision is made for candidates with particular requirements. | List of sources of information on materials/ equipment/facilities to support candidates with particular requirements Examples of such materials/equipment/facilities Copy of Access to Assessment booklet. | |

| Criteria | Examples of evidence | Your evidence |
|---|--|---------------|
| Quality assurance and control | | |
| <p>Q13 There are effective procedures for implementation and review of internal verification/qualification co-ordination.</p> | <p>Qualification IVC(s) identified (where appropriate)</p> <p>Details of arrangements for reviewing/evaluating/improving the effectiveness of internal verification/qualification co-ordination procedures</p> <p>Written/oral explanation of procedures for monitoring and sampling the work of all assessors</p> <p>Records of action/procedures for taking action where assessment is unsatisfactory</p> <p>Indication of time allowances for internal verification / qualification co-ordination responsibilities and confirmation that this is sufficient</p> <p>File of policy documents, eg <i>Ensuring quality</i></p> | |
| <p>Q14 The quality and fairness of assessment is systematically reviewed and monitored.</p> | <p>See Q13.</p> <p>Standardisation activities</p> | |

This section relates to common qualification recognition for Edexcel and OCR centres only

12 Do you wish to apply for a qualification (NVQ only) that you are already Yes No delivering through another awarding body?

If yes, which awarding body.....

Has a sanction been imposed on your centre for this qualification in the Yes No last 12 months?

If yes, which sanction? L2 L3A L3B L4 L5

Please remember to enclose your two most recent external verifier reports for this qualification

13 Declaration (to be signed by the QAC on behalf of the centre)

I declare that the information contained in this application is correct and current, and that I am authorised to sign on behalf of the centre.

The centre agrees that it will submit an approval application form if there are any changes to the information in this application and, if qualification approval is given, the terms of the agreement between it and City & Guilds will apply.

I agree to pay the non-refundable fee for the processing of this qualification approval application.

(Tick ✓ as appropriate)

- I enclose a cheque for the sum of £200

Please invoice my centre upon receipt of this application
(payment of this invoice is subject to the normal trading terms)

Order number, if appropriate

Surname Forename Title
(BLOCK CAPITALS)

Official position (Quality Assurance Co-ordinator)

Email address

Signature Date

Please send this form and one copy of it to the appropriate City & Guilds regional/national office (refer to map at the front of *Providing City & Guilds qualifications*).

Ensure that all attachment sheets are included. If your organisation is *not* currently approved to offer any qualifications through City & Guilds, please contact the appropriate regional/national office.

Please note that your application will not be processed unless it is accompanied by a cheque for the amount requested or authorisation has been given to invoice your centre for the required amount.

Please keep this form as a master copy.

Use this form to notify City & Guilds of any changes to the information submitted on the *Application for centre approval* (Form CAP), *Application for qualification approval* (Form QAP), or previous *Approval application update* (Form APU). This form should be completed with reference to *Providing City & Guilds qualifications - a guide to centre and qualification approval*.

If completing this form by hand, please use **black ink** and **block capitals**.

| |
|--|
| Name of centre |
| Centre no Contact telephone no |
| Name of quality assurance co-ordinator |

1 Centre approval update

Please tick ✓ the appropriate box(es) to indicate what changes have been made to information previously provided. Complete Section 3 (APU2) with details.

- 1. Name of centre
- 1.2 Address (new letter head required)
- 1.3 Telephone/fax nos
- 1.4 Quality assurance co-ordinator
- 1.5 Walled Garden contact details ie those who do not now need access
- 1.6 Other information ie changes to policies, practices or procedures for the management of qualifications/equal opportunities/assessment and internal verification

2 Qualification approval update

Use this section to identify changes relating to a maximum of three qualifications. Complete Section 3 (APU2) with details. If there is insufficient space to list all the qualifications concerned, please attach a separate sheet with the additional details. Please tick each box which reflects the type of change you are reporting in relation to each qualification.

| City & Guilds qualification no | □□□□ □□ | □□□□ □□ | □□□□ □□ | □□□□ □□ |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| 2.1 IV/IVC/SC | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.2 Satellite site (eg additional satellite site, changes to satellite site address) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.3 Staff resources (eg additional IVs/assessors, achievement of D units) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.4 Physical resources (eg changes to equipment) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.5 Other information (ie any other changes to the information relating to particular qualifications) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

3 Amended/additional information

The following information is submitted with reference to Section 1 and/or Section 2 on the preceding page. Please complete qualification number - if you are providing qualification information, the reference - this is the number which corresponds to the items in Sections 1 and 2, and the amended or additional information.

eg {

| Qualification no (if applicable) | Ref(s) | Details |
|-------------------------------------|------------------------|--|
| 1357 1358 | 1.4/2.3 2.2/2.3 | Our training manager, Rosemary Adams, now undertaking role of quality assurance co-ordinator Miriam McDonald (IV) awarded appropriate IV qualification. Ernest Townsend (assessor retired – replaced by Elesh Khan who has appropriate assessor qualifications). Longmore Road site no longer being used. Assessors now based at Castleford. |

| Qualification no (if applicable) | Ref(s) | Details |
|-------------------------------------|--------|---------|
| | | |

4 I confirm that a copy of this Form APU has been sent to the following external verifier(s)/moderator:

External verifier

For qualification(s)

External verifier

For qualification(s)

External verifier

For qualification(s)

External verifier

For qualification(s)

External verifier

For qualification(s)

5 I confirm that a copy has been sent to the regional/national office (please ✓ tick)

6 Are you using any form of electronic portfolio for the above qualifications? Yes No

If yes, please specify the system used

7 Declaration (to be signed by the quality assurance co-ordinator on behalf of the centre)

We declare that the information contained in this approval application update, and provided in support of it, is correct and current and acknowledge that, if it is accepted by City & Guilds, the agreement between us and City & Guilds will be amended accordingly. We will submit a further approval application update if there are any further changes to information supplied by us to City & Guilds.

Surname Forename Title
(BLOCK CAPITALS)

Official position (Quality assurance co-ordinator)

Email address

Signature Date

Please send this form to the appropriate City & Guilds regional/national office (refer to map at the front of Providing City & Guilds qualifications), and a copy to each of the external verifiers or moderators involved with the above qualifications. Ensure that all attachments are included. Retain copies for your records.

Credit application



Form CAF

Version 5.2

Submit this form **only** if your organisation is **not** currently approved to offer any qualifications through City & Guilds. It should be completed in accordance with reference to other appropriate sections of *Providing City & Guilds qualifications - a guide to centre and qualification approval*.

Submission of this form **must** be accompanied by

- the completed Statement of Intent
- the completed Direct Debit instruction
- current letterhead
- cheque for the relevant centre approval fee, made payable to City & Guilds.

If your application is successful, approved centre status will be granted and you will be informed of your credit limit.

If completing this form by hand, please use **black ink**.

| | |
|---|---|
| 1 | Trading name in full |
| | |
| | (please ensure that this is your exact trading style) |

| | |
|---|----------------------------------|
| 2 | Invoice address |
| | |
| | Postcode |
| | Telephone no Fax no |
| | Finance department contact |

| | |
|---|---|
| 2 | Type of company (please tick ✓ as appropriate and provide the other information requested). |
| | <input type="checkbox"/> Limited <input type="checkbox"/> Plc <input type="checkbox"/> Sole trader <input type="checkbox"/> Partnership |
| | Other (please specify) |
| | How long established Number of employees |
| | Approximate annual turnover |
| | *Anticipated monthly turnover with City & Guilds |
| | VAT number |
| | Company registration number (if applicable) |

* This can be calculated by estimating the number of candidate registrations/entries per year (refer to QAP2 – 5.1) and multiplying this figure by the relevant registration fee (contact your regional/national office). This should then be divided by 12 for the anticipated monthly turnover with City & Guilds.

4 Full name and home address for a sole trader, partnership or other

.....

.....

.....

Postcode Postcode

5 Trade references (organisations that you trade with who will be prepared to provide information on your payment record with them)

| | |
|--------------------|--------------------|
| Name | Name |
| Full address | Full address |
| | |
| | |
| Postcode | Postcode |
| Telephone no | Telephone no |
| Fax no | Fax no |
| Contact | Contact |

6 Additional information

Name of funding organisation

(where applicable) eg Learning Skills Council, Jobcentre Plus, ELWa, LEC

Cambridge national centre no (if approved educational establishment)

Data Protection Act 1998 – commercial credit references on sole traders, partnerships and directors of limited companies

City & Guilds may make a search with a credit reference agency, which will keep a record of that search and will share that information with other businesses. We may also make enquiries about the principal directors with a credit reference agency.

Bank reference

The authorised signatory overleaf gives specific authority for City & Guilds to contact the bank for a reference. Bank details are included on the Direct Debit instruction.

Declaration (to be signed by the head of centre or authorised signatory on behalf of the centre)

We declare that all the information supplied in support of this application is correct and current and acknowledge that such information shall form part of the agreement between us and City & Guilds.

Surname Forename Title
(BLOCK CAPITALS)

Official position (Quality assurance co-ordinator)

Email address

Signature Date

If you do not receive a visit from a Customer Relationship Manager, you should send this form to the appropriate City & Guilds regional/national office (refer to map in Providing City & Guilds qualifications for details), together with:

- **your Statement of Intent form;**
- **current letterhead; and**
- **a cheque for the centre approval fee.**

Ensure that all attachments are included. Retain one copy for your records.

**Instruction to your Bank or Building Society
to pay Direct Debit**



Originator's identification number

| | | | | | |
|---|---|---|---|---|---|
| 9 | 1 | 6 | 4 | 0 | 5 |
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Please fill in the whole form and send it to:
Credit Control department
City & Guilds
1 Giltspur Street
London
EC1A 9DD

Via your regional/national office.

Name and full postal address of your Bank or Building Society branch

| |
|--------------------------|
| To: The Manager |
| Bank or Building Society |
| Address |
| Postcode |

Name(s) of account holder(s)

| |
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| |
|--|

City & Guilds reference number
(For office use only)

| |
|--|
| |
|--|

3 Branch sort code
(From the top right hand corner of
your cheque)

| | | | | | | | |
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Instruction to your Bank or Building Society.
Please pay City & Guilds Direct Debits from the
account detailed on this Instruction subject to the
safeguards assured by The Direct Debit Guarantee.

4 Bank or Building Society account
number

| | | | | | | | |
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| |
|--------------|
| Signature(s) |
|--------------|

| |
|------|
| Date |
|------|

Banks and Building Societies may not accept Direct Debit Instructions for some types of account.

The Direct Debit Guarantee

- This Guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society.
- If the amounts to be paid or the payment dates change, City & Guilds will notify you 10 working days in advance of your account being debited or as otherwise agreed.
- If an error is made by City & Guilds or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel a Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to us.

This Guarantee should be retained by the payer.



**Published by City & Guilds
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