

Centre guide

Delivering international qualifications



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Edition 3

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1 Introduction

1.1 About this document

In order to deliver any City & Guilds' qualifications or examinations an organisation must demonstrate that it can meet our criteria in four key areas of operation:

- management and administrative systems
- physical and staff resources
- assessment
- quality assurance.

We have therefore produced this *Centre guide* to provide full details of our criteria and step by step procedures to

- help organisations apply to become an approved City & Guilds centre and to gain approval to offer specific qualifications
- provide ongoing guidance and support to all centre staff involved with the delivery of those qualifications on the administrative, assessment and quality assurance requirements necessary to ensure compliance with City & Guilds' approval criteria.

We have printed it in section format within a ring binder so that we can update it as required, thereby ensuring you have the latest information in one comprehensive document.

It should be regarded as an essential source of information on delivering City & Guilds qualifications and, therefore, should be accessible at all times to any centre staff involved with those qualifications. It is particularly important that members of staff new to City & Guilds qualifications familiarise themselves with its contents.

This is just one of a range of essential documents and information leaflets to which you will need to refer, but we draw your attention particularly to the following guides:

- *International catalogue of examinations and assessments*, which provides a detailed list of all international qualifications, fee codes, examination calendar, etc.
- Materials for individual qualifications. You will need to refer to relevant documentation for the qualifications you wish to offer to check if there are any particular requirements. We have not attempted to address qualification specific issues in this guide.
- *International handbook* which introduces City & Guilds' qualifications and services.
- *Preparing projects and portfolios for International Vocational Qualifications*, a useful guide for both trainers and candidates.
- Guide to assessment.

In order to help teachers/trainers prepare candidates for examination, we provide a range of support materials, including:

- Specimen papers.
- *Examination Guides and Marking Guides*, with information on assessment criteria using authentic examples of candidates' work marked by our examiners.

Some of the key points covered in this guide are as follows.

1.2 Centre approval

Centre approval must be obtained by any organisation that is not already approved as a City & Guilds centre wishing to offer City & Guilds qualifications and/or examinations.

Application procedures for centre approval appear in section 3, *Centre approval*, together with approval criteria and examples of supporting evidence. An *Application for centre approval* (Form CGI/CAP), with guidance for its completion, can be found in section 3.15.

Please note fees for centre and qualification approval are payable in advance and non refundable.

Once granted, centre approval continues for two years, subject to ongoing compliance with the centre approval criteria. You will then need to reapply, but approval will normally be a desk-based procedure unless your centre

- has not provided examinations or assessments for a viable number of candidates for each of the last two years
- has had approval withdrawn because the centre approval criteria were no longer being met.

Centre approval will allow you to offer examinations only (see section 7 for detailed regulations regarding the conduct of examinations). If you wish to offer qualifications which include competence based or mixed assessment activities, your submission for centre approval must be accompanied by at least one *Application for qualification approval* (Form CGI/QAP).

1.3 Qualification approval

Qualification approval must be obtained by

- new centres wishing to offer a City & Guilds qualification for the first time
- existing centres wishing to extend the range of City & Guilds qualifications they offer.

Application procedures appear in section 4, *Qualification approval*, together with approval criteria and examples of supporting evidence. A copy of the *Application for qualification approval* (Form CGI/QAP), with guidance for its completion, can be found in section 4.10.

1.4 Advisory visits

You may request an advisory visit before applying for centre and/or qualification approval, or at any time after approval has been granted. We may also recommend such a visit as an optional service.

The purpose of the advisory visit can be to

- provide general advice on meeting centre/qualification approval criteria (see sections 3 and 4)
- identify specific areas of centre/qualification operation that need further attention
- provide opportunities for your staff to ask questions and resolve queries.

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

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

Please note that there may be a charge for each advisory visit to advise staff on the management of the centre.

1.5 Approval application update

Centre and qualification approvals are granted on the basis of information you submit at the time of applying for approval. That information is held within our database. If at any time there are changes to those details eg you add a satellite site, new assessor, etc, you must notify us immediately using the *Approval application update* (Form CGI/APU), a master copy of which can be found in section 5.2, together with guidance notes on its completion. **Failure to notify us of changes may affect your approved status.**

1.6 Roles of key participants in assessment, verification and examination

When submitting applications for centre and qualification approval, centres are asked to identify who will be undertaking various roles in the assessment, verification and examination processes. These should be appropriate to the number of qualifications to be/being run and the level of assessment activities. For example, centres with a large number of assessors will probably need more than one internal verifier and may therefore need to identify an internal verifier co-ordinator to ensure consistency of internal verification practice. (The assessment manager could also do this.) A small centre with just two or three assessors would not need to do so.

Descriptions of the roles are given in section 2, together with details of any particular qualifications required.

1.7 Candidate registration, entry for examinations and certification

In section 6 we set out the key steps in registering candidates, making entries for examinations and submitting results for certification. We have included examples of how the relevant forms should be completed, together with examples of other documents with which you will need to become familiar.

1.8 Assessment

In section 8 we offer guidance on evidence collection and assessment. We have included a selection of forms relating to these activities, which may be photocopied and used as required.

1.9 Internal verification

Some centres may already have well established internal quality assurance arrangements but for others the development of a formal structure will be a new requirement. In section 9 we look at the role and responsibilities of an internal verifier.

1.10 External verification

External verifiers provide you with information, advice and support relating to specific qualifications and enable us to ensure that criteria for ongoing approval are being met. Our procedures for external verifier visits are outlined in section 10.

1.11 Access and equal opportunities

City & Guilds is committed to equality of opportunity and fair access to assessment for all our qualifications. The diversity of candidates for whom this may be an issue is extensive so in section 11 we offer guidance on access and equal opportunities. We have included copies of City & Guilds' policies relating to these areas in this section.

1.12 Reviews, appeals, complaints and infringement of rules

We always aim to establish and maintain excellent working relationships with our centres. However, on rare occasions, disputes over approved status and other matters may arise. Where these occur, procedures are in place and these are outlined in section 12.

1.13 Walled garden

As a City & Guilds approved centre you will be eligible to use our Walled Garden which, if you have access to the internet, will enable you to carry out on-line a wide range of functions such as ordering publications, entering candidates for examinations, etc. It is a fast and efficient service for centres world-wide. For further information see our website www.walled-garden.com or e-mail on-line@cityandguilds.com.

1.14 Other important information

In the *Appendices* section, we have included some important information about the requirements of the Data Protection Act 1998. Please make sure you read this to understand your responsibilities with regards to the transfer of personal data. Please also note the General Terms in Appendix 5.

Finally, we are sure that if you are successful in gaining approval to deliver City & Guilds qualifications you will wish to use our logo on your promotional material, stationery, etc. In Appendix 4 we tell where you can use it and how you can get the current version for your use.

If you have any queries which don't seem to have been addressed in this guide, contact Customer relations on +44(0)20 7294 3505 or Fax +44 (0)20 7294 2425 or e-mail international@cityandguilds.com

For other useful contacts, see Appendix 1.

1.15 Glossary of terms

The following terms are used throughout this document.

Approved centre

A centre which has been confirmed as being able to meet the standards required by City & Guilds for the conduct of examinations and/or assessment of practical competences.

Assessment site

The generic term for any place where assessments are carried out: main site, real working environment, work placement, satellite site, etc.

Centre applications

City & Guilds qualifications and/or examinations may only be offered by approved organisations, called centres, which may be schools, colleges, training organisations, large or small companies.

Qualification

The syllabus, assessments and certificates offered by City & Guilds for a specified sector at a specified level.

Qualification approval

Approval for a specified qualification or qualifications within the same group for which approval is a single activity eg same sector, different levels.

Sampling strategy

An explanation of the considerations that must be included in order to get a sample which is representative of assessment practice across the whole centre.

Sampling plan

A document that explains how the strategy will be applied in a specific situation; for example, with a particular group of candidates.

Satellite site

A site which acts on the centre's behalf in the assessment/examination of qualifications and which is responsible to the centre for quality assurance. It is separate from the main centre but **within the same locality** ie sufficiently close to the main centre to enable an external verifier/quality inspector to visit the site(s) as part of their routine verification/inspection practice. The journey from the main centre to a satellite site should normally take no more than approximately 30 minutes. It may be part of the same organisation, eg separate campus of a college/department of a company or it may be a separate organisation. (See section 3.1.1.)

Sub centre

A site which acts on the centre's behalf in the assessment/examination of qualifications and which is responsible to the centre for quality assurance. It is separate from the main centre and **not** within the same locality (see above). It may be part of the same organisation, eg separate campus of a college/department of a company or it may be a separate organisation. A sub centre will normally have its own physical and staff resources and must therefore be considered as a separate entity, including for approval applications and approval fee purposes. (See section 3.1.2.)

Verification

The process of checking the judgements made by assessors of candidate competence. This is carried out by internal verifiers and external verifiers.

1.16 Abbreviations

Abbreviations used throughout this document:

- A – assessor
- AM – assessment manager
- EV – external verifier
- IV – internal verifier
- IVC – internal verifier co-ordinator
- T – tutor/trainer

2 Roles of key participants in assessment, verification and examination

This section gives details of the requirements and responsibilities of each role involved in the assessment, verification and examinations processes.

A centre should identify members of staff to fulfil roles appropriate to the level of assessment activities being undertaken. For example, there will be no requirement to designate an internal verifier co-ordinator in small centres where one internal verifier is able to undertake effectively all verification activities. All assessment centres will need to demonstrate they have effective internal quality assurance arrangements and the appointment of internal verifier(s) will generally be seen as the most effective way of doing so (see points 2.3 and 2.4 below).

Two or more roles may be undertaken by the same person, eg assessment manager and internal verifier. However, it should be noted that internal verifiers who are also assessors cannot internally verify their own assessments.

Please note: the level of expertise required will vary between qualifications so it is not possible to provide detailed guidance here. Please refer to the relevant qualification specific documentation.

2.1 Assessment manager

The assessment manager 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. This role may be performed by the principal/head of centre/head of department, an internal verifier or some other person within the organisation but they will need to

- have an appropriate background in assessment management, administration and quality assurance
- possess the necessary authority within the centre to ensure that management, administrative, assessment and internal verification procedures are implemented correctly and consistently across the centre as a whole
- have regular contact with the internal verifiers whose work s/he co-ordinates
- ensure only suitable staff are used in the assessment and internal verification processes in accordance with City & Guilds' requirements
- ensure staff involved in training, assessment and/or internal verification have access to and regularly participate in activities for continuous improvement
- ensure sufficient and effective support is available for confirming decisions of new/inexperienced assessors and internal verifiers
- ensure assessors and internal verifiers are able to apply equal opportunity principles to assessment
- ensure assessors and internal verifiers are familiar with the qualifications they are assessing or verifying and have sufficient knowledge to enable them to interpret the knowledge requirements, values and documentation
- ensure assessors and internal verifiers are familiar with the recording systems, documentation and procedures for assessment and internal verification quality assurance
- ensure assessors and internal verifiers understand their role and are supported and allowed sufficient time

- provide proof of candidates' identities where this is required
- ensure candidates' projects and prepared practical work are forwarded on time, where applicable
- 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, if appropriate
- ensure any corrective actions required by the City & Guilds external verifier or City & Guilds head office/branch office are implemented within the agreed timescales
- circulate all general correspondence between City & Guilds and the centre to all relevant people with the centre.

In addition to the above, the assessment manager is responsible for all the administrative duties specified in 2.2 Examinations secretary, although these tasks may be undertaken by a separate person.

2.2 Examinations secretary

Although the assessment manager has overall responsibility for the delivery of City & Guilds qualifications within the centre, a separate person can be appointed to be responsible for ensuring:

- registrations/claims for certification are sent to us in accordance with specified procedures
- printouts, where appropriate, sent by us of registration details are correct
- all interested parties are notified of assessment/examination dates well in advance
- there are appropriate security arrangements for written papers, assessment materials, etc
- invigilators fully understand their role and responsibilities
- there is appropriate, suitably equipped, accommodation for examination purposes
- there is sufficient equipment, paper and or other appropriate materials for each examination
- examinations and online testing are conducted in accordance with our regulations
- payment of invigilation fees
- appropriate records, results or other evidence of achievement are released to other centres or the candidate (as applicable) in cases where candidates transfer to new centres
- certificates and certificates of unit credit received from us are securely stored
- results and/or certificates are properly issued to candidates at the centre
- our invoices are paid within agreed payment terms.

Please refer to the *International catalogue of examinations and assessments* for more detailed information.

NB: All correspondence from us relating to examinations is addressed to the examinations secretary.

2.3 Internal verifier co-ordinator

Large centres, where more than one internal verifier is involved with a qualification, may find it helpful to appoint an internal verifier co-ordinator, who may also be an internal verifier, for each qualification.

The internal verifier co-ordinator will be responsible for

- liaising with the assessment manager
- 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 qualifications(s)/sites with which s/he is involved.

2.4 Internal verifier

Internal verifiers monitor the work of all assessors involved with a particular qualification, to ensure the accuracy and consistency of assessment activities and decisions. (For more guidance, see section 9.)

Internal verifiers are responsible for

- ensuring that assessors follow the qualification assessment guidance provided
- establishing procedures, advising and supporting assessors to assist them in interpreting and applying the qualification requirements correctly and consistently
- sampling, including by direct observation, assessment activities, methods and records to monitor consistency of assessment decisions
- sampling an increased ratio of assessment decisions by new assessors and being responsible, and accountable, for arranging the checking process
- providing assessors with prompt, accurate and constructive feedback on their assessment decisions
- maintaining up to date records of internal verification and sampling activities and ensuring that these are available for the external verifier
- undertaking an active role in raising issues of good practice in the assessment process
- 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
- organising regular meetings between all those involved in assessment within the centre, including any satellite sites (records or minutes of such activities should be kept for the external verifier)
- facilitating appropriate ongoing staff development and training for assessors
- keeping themselves and their assessors up to date with City & Guilds publications relating to the quality control of qualifications
- ensuring that all candidates' achievement records and centre documentation are completed in accordance with requirements
- countersigning as appropriate assessment documentation.

Internal verifiers must possess current occupational experience for the qualifications they are internally verifying.

If internal verifiers also act as assessors, it is not acceptable for internal verifiers to internally verify their own assessment decisions.

2.5 Assessor

The primary role of assessors is to assess candidates' performance and related knowledge in a range of tasks and to ensure that the competence/knowledge demonstrated meets the requirements of the qualification (see section 8). Assessors will therefore need to have current occupational experience in the vocational area to be assessed. The level of expertise required will vary between qualifications so it is not possible to provide details here. Generally they should be occupationally competent at a level above that for which they are assessing.

Assessors are responsible for

- ensuring that each candidate is aware of his/her responsibility in the collection and presentation of evidence
- agreeing and recording an assessment plan with each candidate
- fully briefing candidates on the assessment process
- following assessment guidance provided by City & Guilds and the centre
- demonstrating commitment to anti-discriminatory practice and equal opportunities
- observing candidates' performance in the workplace and/or in simulated conditions (where applicable) and/or conducting other forms of assessment in accordance with the requirements of the qualification
- recording all questions used and answers given for the purposes of meeting the evidence requirements
- judging the evidence and making assessment decisions against the standards
- ensuring validity, authenticity, currency and sufficiency of evidence produced by candidates
- providing candidates with prompt, accurate and constructive feedback
- maintaining accurate records of candidates' achievement
- confirming that candidates have demonstrated competence/knowledge and completing the required documentation
- keeping themselves up to date with City & Guilds publications relating to the quality control of the qualification(s)
- agreeing new assessment plans with candidates where further evidence is required
- making themselves available for discussion with the internal verifier and/or external verifier
- maintaining confidentiality for sensitive information.

2.6 Invigilator

An invigilator is responsible for the conduct and integrity of all examinations, whether written, online or practical.

Invigilators are responsible for

- familiarising themselves with City & Guilds requirements including the *Regulations for the conduct of examinations*, (section 7)
- accurately observing the time allotted for the examination
- reading out the 'rules to candidates' prior to commencing the examination

- ensuring that all examination scripts are collected immediately after the examination and handed to the person responsible for despatching them
- ensuring compliance with all other regulations relating to the examination.

Please note that a tutor for a qualification that is being examined **must not** invigilate for that examination.

In certain circumstances we may not approve the appointment of members of a centre's own staff as invigilators. Sometimes, invigilators are appointed by City & Guilds. This will depend on a number of factors such as whether the centre is controlled or accredited by the state education and training authorities; whether it is registered with and approved by other recognised examining or validating bodies, etc. In such circumstances, the centre will be required to appoint independent invigilators who may not be:

- the head of the approved centre
- the local examinations secretary
- any member of the centre's teaching or administrative staff
- any relative of the above persons
- a relative of any candidate.

2.7 Specialist teacher/tutor/technician

A specialist teacher or tutor or technician is a subject expert who undertakes preparation work, if necessary, for a particular examination. For examinations comprising practical tests or the use of equipment such as a computer, then it is essential that a teacher or assistant familiar with any equipment to be used is present in order to deal with machine faults.

The provision of a specialist teacher/tutor/technician is in addition to the invigilator. The invigilator must not act in this capacity. Only in the exceptional case of an examination for one candidate may the invigilator undertake the role of specialist.

2.8 Candidate

Candidates are those individuals who are registered and working towards a full or part qualification at a centre approved by City & Guilds to offer qualification(s) and/or examinations. Depending upon the type of qualifications they are taking, candidates may undergo competence-based assessment, written examinations, online testing or mixed assessment activities.

Candidates undertaking competence-based and mixed assessment activities are responsible for:

- confirming to assessors that they understand the requirements of the qualification
- confirming to assessors that they understand the relationship between the requirements 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
- 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 and to discuss their evidence.

Candidates undertaking written examinations or online testing are responsible for:

- preparing themselves in line with the knowledge requirements set out in the qualification requirements/syllabus
- presenting themselves for examination at the required time on the required date
- conducting themselves during the examination in accordance with City & Guilds regulations. (Section 8.)
- follow internal appeals procedure.

Centres are responsible for explaining these responsibilities to candidates and are expected to do so.

It is important to note that any member of staff wishing to sit an externally marked, written examination paper must seek approval by emailing policy@cityandguilds.com. A response will confirm approval or otherwise. Under no circumstances can certificates be claimed for any member of staff for the practical component of an examination.

2.9 External verifier

External verifiers are appointed by City & Guilds for specific qualifications to ensure that all assessments undertaken within City & Guilds centres are fair, valid, consistent and meet the requirements of the qualification. They will have an appropriate level of knowledge and expertise for the qualifications for which they undertake this role.

External verifiers are responsible for:

- making approval visits/recommendations (where necessary) to confirm that organisations can satisfy the approval criteria
- helping centres to develop internal assessment and evidence evaluation systems that are fair, reliable, accessible and non-discriminatory
- ensuring that internal verifiers are undertaking their duties satisfactorily
- monitoring internal quality assurance systems and sampling, including by direct observation, assessment activities, methods and records
- checking claims for certification to ensure they are authentic, valid and supported by auditable records
- acting as a source of advice and support, including help with the interpretation of standards
- promoting best practice
- providing prompt, accurate and constructive feedback to all relevant parties on the operation of centres' assessment systems
- confirming that centres have implemented any corrective actions required
- reporting back to City & Guilds head office or the relevant branch office

- maintaining records of centre visits and making these available for auditing purposes
- ensuring that there is no conflict of interest involving them or the centre.

2.10 Quality inspector

Quality inspectors are appointed by City & Guilds to ensure that centres comply with our centre approval criteria. Their responsibilities relate to systems and quality assurance rather than qualification specific assessment requirements.

Quality inspectors are responsible for:

- conducting inspection or audit trails to ensure centres comply with City & Guilds centre approval criteria
- making approval visits/recommendations (where appropriate) to confirm that potential centres satisfy/will be able to satisfy the centre approval criteria
- undertaking unannounced visits to check the conduct and integrity of City and Guilds examinations
- providing prompt, accurate and constructive feedback to all relevant parties
- providing advice to centres on internal quality arrangements
- reporting back to City & Guilds head office or the relevant branch office
- maintaining records of centre visits and making these available for auditing purposes.

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3 Centre approval

3.1 What is a centre?

City & Guilds qualifications and/or examinations may be offered only by organisations, approved by us, called centres.

A centre may be one of the following

- school, college or higher education institute
- training organisation
- large or small company.

It may also be

- a single agency, comprising
 - a single site or
 - a ‘controlling’ agency with one or more associated sites, which may include franchise agreements
- a group of agencies which work in partnership.

If your organisation comprises a number of sites or a group of agencies, resources may be combined to provide assessment. Different component parts may be assessed in different locations. Under this arrangement you must have one main centre (the address of which must be submitted for centre approval purposes) and a central system for the purposes of management, administration and quality assurance. You will need to agree and formalise these arrangements and give us full details at the time of seeking approval. However, please note the following.

3.1.1 Satellite site

A satellite site acts on the centre’s behalf in the assessment/examination of qualifications and is responsible to the centre for quality assurance. It may be part of the same organisation, eg separate campus of a college/department of a company or it may be a separate organisation.

It is a site separate from the main centre but **within the same locality**, ie sufficiently close to the main centre to enable an external verifier/quality inspector to visit the site(s) as part of their routine verification/inspection practice. The journey from the main centre to a satellite site should normally take no more than approximately 30 minutes this is to ensure that the satellite can be included in the day’s visit.

Satellite sites are considered to be part of the main centre, including for approval purposes. We will allocate only one centre number and use one address. However, please note the following:

- The approval criteria will apply equally to satellite sites so each one must be easily accessible for City & Guilds external verification and/or audit purposes. If they are not in the same locality, individual sites must apply for separate approval. (See 3.1.2 *Sub centres*).

- Internal verifiers, assessors and/or staff involved with the delivery of assessments and/or examinations at satellite sites must be regarded as centre staff in the interpretation of all City & Guilds' regulations.
- The organisation named as the 'centre' must be prepared to assume full responsibility for ensuring the quality of the assessment and/or examination processes 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.

3.1.2 Sub centre

A sub centre acts on the centre's behalf for the assessment/examination of qualifications and may be responsible to the centre for quality assurance. It may be part of the same organisation, eg separate campus of a college/department of a company or it may be a separate organisation.

It is a site separate from the main centre and **not within the same locality**, ie not sufficiently close to the main centre to enable an external verifier/quality inspector to visit the site(s) as part of their routine verification/inspection practice. The journey from the main centre to a sub centre would normally take no more than approximately 30 minutes – this is to ensure that the sub centre can be included in the day's visit.

A sub centre will normally have its own physical and staff resources and must therefore be considered as a separate entity, including for approval and approval fee purposes. However, in recognition of its relationship with the main centre, eg it may use centrally generated documentation and quality assurance arrangements, we will allocate a sub centre suffix to the main centre number. In all other respects a sub centre will be treated as a separate centre and, unless otherwise requested at the time of seeking approval, all communications from City & Guilds will be addressed directly to the sub centre(s).

Please note that separate applications must be made for centre and qualification approval.

3.2 Types of approval

There are two types of approval:

- **Centre approval** – If your organisation is not currently a City & Guilds approved centre, you must apply for centre approval. You will need to provide us with evidence that you are able/will be able to meet our approval criteria in four key areas of operation:
 - management and administrative systems
 - physical and staff resources
 - assessment
 - quality assurance.

This will show us whether you have the **overall** systems and people in place to deliver our qualifications.

- **Qualification approval** – if you wish to offer any of our qualifications which include practical assessments, for example one of our International Vocational Qualifications (IVQs), you will need to apply for the relevant qualification approval. Full details are provided in section 4.

Please note that if your organisation is not already a City & Guilds approved centre you should normally apply for at least one qualification approval **at the same time** as applying for centre approval, unless you want approval for examination purposes only, ie to become an examinations centre; then centre approval is all that is required. (See section 3.4.)

If your centre is currently approved by City & Guilds, you will need to apply only for approval for the specific qualification you now wish to deliver. You do not have to resubmit an application for centre approval.

The standard procedures for centre approval are summarised below. Refer to section 4 for full details relating to qualification approval and an application form.

In some instances, City & Guilds approved centres may be offered a ‘fast track’ option. Qualification approval may then be given after a review of the qualification approval submission.

3.3 Procedures for centre approval for the purpose of practical assessments and written and/or online examinations

3.3.1 Initial application

- 1 You will need to
 - complete an *Application for centre approval* (Form CGI/CAP)
 - complete at least one *Application for qualification approval* (Form CGI/QAP) – section 4.10
 - complete an *Application for credit* (Form CGI/CAF) – not required for sub centre applications
 - provide a current letterhead of your organisation – not required for sub centre applications
 - send the original CGI/CAP, CGI/QAP and CGI/CAF forms with one photocopy of each, supporting evidence see examples pages 3–11 to 3–14 together with the letterhead, etc to your local City & Guilds office.
- 2 We will
 - review the completed Forms CGI/CAP and CGI/QAP
 - send you an acknowledgement of receipt of your application and advise you if we require any additional information
 - send copies of the forms, when we have all necessary information, to an external verifier, who may also request additional information from you

- ask the external verifier to undertake an approval visit
- advise you of the name of the external verifier who will be contacting you
- send Form CGI/CAF and attachments to our Finance Department, which may initiate credit status enquiries – see section 3.10 – *Payment terms*
- confirm to you in writing the outcome of the application, normally within 4-6 weeks of receipt of your application and all supporting documentation.

3.3.2 Approval visit

As we saw in 3.2, if your organisation is not already a City & Guilds approved centre, unless you want approval for examination purposes only, you should normally apply for at least one qualification approval at the same time as applying for centre approval; therefore, a joint centre and qualification approval visit will normally be undertaken by an external verifier who has expertise in the relevant qualification area. (See section 2.9.) However, if the application is of a complex nature, eg a multi qualification/site application we may appoint

- a quality inspector (see 2.10) to audit overall management and administrative systems and internal quality assurance arrangements
- external verifier(s) to review specific qualification resources, eg staff qualifications and expertise and physical resources.

Please also note that if your centre is multi-sited, ie has satellite sites at which assessments/examinations will be undertaken, the quality inspector/external verifier will need to visit **each** site to ensure compliance with the approval criteria.

Prior to the visit

The external verifier will

- contact your nominated assessment manager and agree the visit schedule
- send a *Visit planner* (Form CGI/VPL) confirming the arrangements made, including any particular requirements, eg a visit to satellite site(s)
- indicate any points within the application which need clarification/discussion
- identify the members of staff* s/he wishes to meet.

* These will include the assessment manager, the examinations secretary, the internal verifier(s) for each qualification applied for and, depending on availability, assessors for each of those qualifications.

During the visit

The external verifier will

- look for evidence to confirm that you meet or have the potential to meet both the centre and specific qualification (section 4.8) approval criteria
- ensure that systems exist for advising all staff involved with conduct of examinations, assessment and verification of their roles and responsibilities
- give any help or advice required.

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

At the end of the visit

The external verifier will

- complete a *Visit report – centre approval*, which will include an action plan. (S/he will also complete a *Visit report – qualification approval*)
- leave copies of the reports for the assessment manager
- send copies of the reports to City & Guilds head office/branch office.

We will advise you of the outcome of your application.

3.4 Procedures for centre approval for the purpose of written/online examinations only (Examination centres)

3.4.1 Initial application

1 You will need to

- complete an *Application for centre approval* (Form CGI/CAP)
- complete an *Application for credit* (Form CGI/CAF) – not required for sub centre applications
- provide a current letterhead of your organisation – not required for sub centre applications
- send the original CGI/CAP and CGI/CAF forms, the approval fee(s) and one photocopy of each together with the letterhead to your local City & Guilds office.

2 We will

- review the completed Form CGI/CAP
- send you an acknowledgement of receipt of your application and advise you if we require any additional information
- send a copy of the form, when we have all necessary information, to a quality inspector, who may also request additional information from you
- ask a quality inspector to undertake an approval visit
- advise you of the name of the quality inspector who will be contacting you
- send Form CGI/CAF and attachments to our Finance Department, which may initiate credit status enquiries. (See section 3.10 – *Payment terms*.)
- confirm to you in writing the outcome of the application, normally within 4-6 weeks of receipt of your application and all supporting documentation.

3.4.2 Approval visit

The centre approval visit for examinations only applications, ie no separate qualification application, will normally be undertaken by a quality inspector. (See section 2.10.)

Prior to the visit

The quality inspector will

- contact your nominated assessment manager and agree the visit schedule
- send a *Visit planner* (Form CGI/VPL) confirming the arrangements made, including any particular requirements, eg a visit to other sites where examinations will take place

- indicate any points within the application which need clarification/discussion
- identify the members of staff* s/he wishes to meet.

* These will normally include the examinations secretary and, depending on availability, invigilators.

During the visit

The quality inspector will

- look for evidence to confirm that you meet or have the potential to meet the approval criteria specified on form CGI/CAP and with the *Regulations for the conduct of examinations*. (Section 7.)
- ensure that systems exist for advising all staff involved with conduct of examinations of their roles and responsibilities
- give any help or advice required.

The duration of the visit will vary, depending on the size/complexity of the organisation.

At the end of the visit

The quality inspector will

- complete a *Visit report – centre approval*, which may include an action plan
- leave a copy of the report for the assessment manager
- send a copy of the report to City & Guilds head office/branch office.

We will advise you of the outcome of your application.

3.5 Notification of approval decision

At the time of the approval visit the external verifier/quality inspector will discuss their findings and recommendations with you but you must await formal notification from our head office/branch office of our approval decision before undertaking any assessments/examinations. We do not grant conditional approval to centres, unless there are minor issues which can be easily remedied within the required timescale, so there are only two possible outcomes of a centre approval application:

Centre approval granted

If we are satisfied that you meet the criteria, we will

- recognise your organisation as an approved City & Guilds centre and allocate a centre number, which must be used in all communications with City & Guilds
- notify you in writing that centre approval has been granted
- send you a *Certificate of approval* and all necessary documentation and materials
- allow candidate entries for examinations, if you have applied for approval for examination purposes only. (You must have been granted the relevant qualification approval before any candidates may be registered or assessed for competence based or mixed assessment activities)
- external candidates may be accepted for examination purposes only.

Centre approval withheld

Where insufficient evidence to satisfy the centre approval criteria has been provided, we will advise you of the:

- areas that need to be developed further
- additional evidence required.

Once the action has been implemented, you should contact City & Guilds head office/branch office. We will request evidence to confirm that the centre approval criteria have been satisfied. If necessary, another approval visit may be made. Please note that this will incur a charge.

You will not be able to enter candidates for examinations or register or assess candidates for a particular qualification until centre approval has been granted.

To appeal against a decision to withhold centre approval, please follow the procedures described in section 12 *Reviews, appeals, complaints and infringement of rules*.

3.6 Period of approval

Once granted, centre approval continues for a period of **two years** unless withdrawn earlier. See 3.9. Any qualification approval(s) granted will run concurrently with centre approval.

Please note that centres are subject to random inspection visits at any time we deem appropriate, including at examination time, to ensure compliance with our approval criteria.

3.7 Re-approval

We will contact you approximately twelve weeks before your centre approval expires to remind you of the need for centre and, if applicable, qualification re-approval and to send you the appropriate *Application for re-approval* (Form CGI/RAP). You should return it at least six weeks prior to your centre approval expiry date to ensure that there is no interruption in the service we are able to offer you. Once your current centre approval has expired you will no longer be able to submit registrations or claim certificates for candidates for any City & Guilds examination or qualification.

Re-approval will normally be a desk-based procedure unless your centre

- has undergone any significant changes in the operation and staffing
- has not entered a viable* number of candidates for assessments/examinations per year for the last two years
- has had approval withdrawn. (See 3.9.)

* the number of candidates considered to be viable may vary according to the geographical location of the centre or the type of qualification being delivered.

3.8 Updating centre approval information

If in future there are changes to the details you provided at the time of applying for centre approval, eg a change of examinations secretary or changes of a nature which in any way may affect your ability to satisfy our approval criteria, you must notify us immediately. Please refer to section 5 *Updating approval information* for full details.

Failure to notify us of changes may result in withdrawal or suspension of centre and/or qualification approval.

3.9 Withdrawal and suspension of approval

3.9.1 Withdrawal

Centre or qualification approval may be withdrawn by City & Guilds:

- at any time if the centre (or any satellite site or subcentre which is not part of the same legal entity as 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 which are in force from time to time and which have been sent to the Assessment Manager or Examinations Secretary. It may also be withdrawn if there are major deficiencies in the assessment process and City & Guilds reasonably believes that the appropriate quality of assessment provision can no longer be ensured, or if the centre (or any satellite site or subcentre which is not part of the same legal entity as the centre) does anything which adversely affects the reputation of any member of the City & Guilds Group, or may in the reasonable opinion of City & Guilds do so
- by giving the centre a reasonable period of notice (but at least three months).

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

- the centre has no qualifications approval in force, unless it is an examinations only centre
- the centre has not entered a viable number of candidates for assessments/examinations per year for the last two years. (The number of candidates considered to be viable may vary according to the geographical location of the centre or the type of qualification being delivered)
- payment for City & Guilds' services is not received in accordance with our payment terms (see Section 3.10)
- the centre (or any satellite site or subcentre which is not part of the same legal entity as the centre) becomes bankrupt or insolvent or goes into liquidation, or any resolution or order is made for the purposes of voluntary or compulsory winding-up. You must let us know immediately this happens
- there is any change in control of the centre or of any satellite site or subcentre which is not part of the same legal entity as the centre. Again, you must tell us straightaway if this happens
- any other part of the City & Guilds Group has withdrawn the centre's ability to offer any or all of its qualifications.

We may however decide not to withdraw approval immediately but to discuss the problem with you and give you a reasonable period within which to put it right, or we may opt for suspension (see below)

If we withdraw approval, we may also specify the earliest date on which you may reapply.

3.9.2 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 claim certification, or to make purchase orders) for a specified period of time or indefinitely. This may be in order to see if a situation which would entitle us to withdraw approval 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.

3.9.3 Provisions applying to both withdrawal and suspension of approval

You have the right to appeal against withdrawal or suspension of approval (see Section 12).

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 its satellite sites or subcentres (whether or not they are part of the same legal entity as the centre) has done or failed to do.

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 right may come to an end (see Appendix 4).

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, as 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 done or failed to do
- 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.

3.10 Payment terms

Upon receipt of Form CGI/CAF, our Finance Department may initiate credit status enquiries including obtaining a bank reference and, if necessary, trade references. A satisfactory credit status will grant your centre payment terms of 30 days for candidate registrations only from invoice date for all City & Guilds' services. A monthly credit limit may be applied.

Payment of the Centre approval fee is required at approval application stage.

We reserve the right to request a deposit from a centre with an unsatisfactory credit status. 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 the account on a regular basis and in due course consideration may be given to refunding the deposit if a reliable payment record has been established.

If payment for City & Guilds' services is **not** received in accordance with the above terms, we reserve the right to withdraw credit facilities, withhold the issue of examination papers, certification and suspend processing registrations and purchase orders (see section 3.9 *Withdrawal and suspension of approval*). We also reserve the right to use an external organisation to support debt collection.

3.11 Important reminders

- The documentation submitted in support of approval applications must include an original and one photocopy of each of the forms CGI/CAP, CGI/QAP (if appropriate) and CGI/CAF.
- From initial receipt of the application forms with all supporting documentation, the approval process may take 4 – 6 weeks to complete. (If you do not provide all the necessary information when first submitting your application, the time required may be longer.) Please work to this timescale when planning examinations or assessments.
- We always try to process applications as quickly as possible, but the following circumstances can cause a delay:
 - incorrect completion of CGI/CAP, CGI/QAP and/or CGI/CAF forms
 - failure to include attachments
 - peak holiday periods – quality inspectors or external verifiers may be unavailable for visits or centres may be closed.
- If multiple qualification approval applications are submitted with the initial centre approval application, we may ask more than one quality inspector/external verifier to conduct an approval visit.
- City & Guilds reserves the right to request a deposit from any centre with an unsatisfactory credit status, pending establishment of a reliable payment record.
- An organisation that has had a previous application for approval refused or had approval withdrawn must declare this when making any subsequent application for approval.

3.12 Centre approval criteria and examples of supporting evidence

The criteria listed in this section relate to **centre** approval. You will need to show how you satisfy/will be able to satisfy these criteria. An external verifier/quality inspector will want to see the evidence you have listed when carrying out centre approval and may also want to review it on subsequent verification/audit visits.

We have identified **examples of evidence** but we recognise some may not be relevant until you are actually delivering a City & Guilds qualification, for example:

Management and administrative systems – criteria	Examples of evidence
C7 Candidate records and details of achievements are accurate, kept up to date, securely stored and available for verification and auditing by City & Guilds.	<p>Candidate registration details</p> <p>Candidate assessment records</p> <p>Procedures for maintaining and updating databases (IT or manual)</p> <p>Procedures for maintaining evidence files/portfolios</p> <p>Security and access arrangements.</p>

In these circumstances you need to list the type of evidence you will provide, as suggested above, and then at the time of the approval visit show/explain what systems/procedures you have/will put in place to ensure the accuracy and security of candidate records. An external verifier or quality inspector will wish to look at the relevant records when undertaking his/her first verification visit or inspection visit.

Management and administrative systems – criteria	Examples of evidence
C1 The roles, responsibilities, authorities and accountabilities of the assessment/examination team across all assessment sites are clearly defined, allocated and understood.	<p>Organisational chart showing all assessment sites and staff</p> <p>Documented quality assurance procedures</p> <p>Documented and signed agreements indicating the lines of accountability of partner organisations in relation to the management of assessment and internal quality assurance</p> <p>Records of staff having access to/having copies of all necessary City & Guilds documentation</p> <p>CVs of staff involved with the delivery of City & Guilds qualifications.</p>
C2 There are procedures to ensure effective communication between staff involved with the administration, delivery, assessment and examination of City & Guilds qualifications.	<p>Organisational/communication flowcharts</p> <p>Written procedures/oral explanation including any partner organisations if applicable</p> <p>Records of team meetings.</p>

Management and administrative systems – criteria (continued)	Examples of evidence
C3 The centre has equal opportunities and access to assessment policies and practice which is understood by staff and candidates.	Documented policies and procedures Access and fair assessment policy review mechanisms.
C4 Procedures, accommodation and equipment are fit for purpose to ensure the security of all examination or external test materials and candidate scripts, assignments, projects or portfolios, in accordance with City & Guilds regulations.	Details of security and access arrangements Safe or non portable, lockable steel or metal cabinet Secure room/area.
C5 There are procedures to ensure examinations are conducted by appropriate staff in accordance with City & Guilds examination and syllabus regulations.	Written/oral explanation of procedures Records of appropriate staff having access to or having copies of <i>Regulations for the conduct of examinations</i> , relevant syllabus requirements, any other documentation relating to the administration and conduct of examinations.
C6 Candidate records and details of achievements are accurate, kept up to date, securely stored and available for verification and auditing by City & Guilds.	Candidate registration details Candidate assessment records Procedures for maintaining and updating databases (IT or manual) Procedures for maintaining evidence files/portfolios Security and access arrangements.
C7 The centre has an appeals procedure which is documented and made available to candidates.	Documented appeals procedure, including details of grounds for appeal and timescales Records of appeals made and their outcomes.
C8 There are procedures to ensure City & Guilds is notified of any changes which may affect the centre's ability to meet the approval criteria.	Written/oral explanation of procedures for notification of changes to the assessment and verification team and/or changes of other resources, etc.

Physical and staff resources – criteria	Examples of evidence
<p>C9 Resources necessary to satisfy the requirements for individual qualifications and or examinations are/will be identified and provided.</p>	<p>Records of resources available</p> <p>Procedures used to identify and report deficiencies to senior management</p> <p>Evidence of additional resources obtained as necessary.</p>
<p>C10 Equipment and accommodation used for assessment and examination purposes comply with the requirements of relevant local health and safety legislation.</p>	<p>Records of accommodation checks</p> <p>Equipment maintenance records/schedules</p> <p>Health and safety policies and audit reports.</p>
<p>C11 Accommodation is provided for candidates undertaking examinations which is suitably quiet, in an undisturbed location, with adequate heating, lighting, ventilation and complies with the relevant rules and regulations of City & Guilds.</p>	<p>Details of accommodation to be used</p> <p>Records of accommodation checks</p> <p>Copies of City & Guilds <i>International directory of examinations and assessments</i> and the <i>Regulations for the conduct of examinations</i>, etc.</p>
<p>C12 Staff have sufficient time, resources and authority to perform their roles and responsibilities effectively.</p>	<p>Arrangements for assessment planning</p> <p>Record of/plans for assessor/candidate allocation</p> <p>Verifier/assessor/candidate ratios: time allocation</p> <p>Oral confirmation from assessors/verifiers.</p>
<p>C13 A staff development programme to support the delivery of City & Guilds qualifications is established in line with identified needs.</p>	<p>Procedures for staff induction</p> <p>Procedures for identifying and meeting staff development needs</p> <p>Records of meetings/briefings/updates</p> <p>Records of individual development plans</p> <p>Procedures for taking remedial action to support staff having difficulty.</p>

Assessment – criteria	Examples of evidence
C14 Procedures are in place to ensure assessment is conducted in accordance with the requirements of individual qualifications and by appropriately qualified and occupationally expert staff.	Details of the assessment team, including occupational background and experience CVs of assessment team.
C15 Unit certification will be made available to candidates (where this is appropriate).	Records of units registered/claimed/awarded Induction materials.
Quality assurance – criteria	Examples if evidence
C16 An effective system for quality assurance of assessment is in place.	Documented quality assurance procedures and organisational/flowchart covering all assessment sites, showing roles, responsibilities and reporting lines Documented procedures used for reviewing and evaluating quality assurance arrangements Certificate of accreditation for a nationally recognised quality assurance programme Records of meetings/reviews.

3.13 Guidance on completing the *Application for centre approval (Form CGI/CAP)*

You will find a master copy of this form at the end of this section.

Please read the following guidance notes and refer to other sections of this guide as appropriate. (Guidance on completing an *Application for qualification approval* together with a master copy of the form is included in section 4 *Qualification approval*.)

- 1 Please enter the appropriate details. All formal correspondence and any documentation will be sent to the address you provide here.
- 2 You will need to nominate an assessment manager to be responsible for the quality assurance of all City & Guilds qualifications for which you are seeking approval. Show what position that person holds within the centre (Official position). Please refer to section 2.1 of this *Centre guide* for information concerning this role and complete 2.1, 2.2, 2.3 and 2.4 of this form with the appropriate information.

- 3 If you are applying to offer any qualifications which include examinations you must nominate an examinations secretary to be responsible for candidate entries and the conduct of examinations. Please refer to section 2.2 for information concerning this role.

If you will not be conducting examinations, please write '*Not applicable*'.

- 4 Please identify the type of organisation on behalf of which you are applying for approval and give the information requested. In certain circumstances we may request the name of two education professionals, not employed by your organisation, who can testify to the quality of your training provision.
- 5 Complete as requested.
- 6 Complete 6.1 as requested, and 6.2 and 6.3 if applicable, but please first refer to section 3.1.1 and 3.1.2 for clarification on satellite site/sub centre.

In some local circumstances, centres may be required to register their candidates for examination through an external body such as the British Council. If you have been advised this is necessary please provide their centre number.

Centres unable for any reason to hold examinations themselves will need to identify another organisation through which their candidates may be entered for examinations. City & Guilds, if required, will allocate an examinations centre.

- 7 Complete 7.1 as requested and 7.2 only if appropriate.
- 8 Complete 8.1 as requested and 8.2 if applicable. Accreditation in this context means officially recognised as conforming to nationally or internationally recognised standards with regards to your education/training provision. If you do not have any such recognition, we may request the name of two education professionals, not employed by your organisation, who can testify to the quality of your training provision.
- 9 Please identify the type of evidence you have and will make available to City & Guilds to satisfy the centre approval criteria specified – examples are listed in section 3.12.

The items of evidence listed are examples only and alternative evidence that satisfies the criteria will be accepted. You will not be expected to produce different items of evidence where one will satisfy a number of criteria. You are not required to send in specific evidence so it is therefore essential that you provide as much detail as possible on the form. Make sure you have considered, and have evidence that you can or will be able to satisfy, **all** the criteria. (If you wish to become an examinations only centre, enter '*Not applicable*' for criteria relating to assessment, eg C14, C15.)

Sections 10, 11, 12 and 13 should be completed only by centres seeking approval for the purposes of written/online examinations alone.

- 10 Please provide details as requested. Qualification/complex numbers and examination dates can be found in the *International directory of examinations and assessments*.
- 11 List all staff who will be training/tutoring candidates for these qualifications. Please tick the appropriate boxes to confirm they have relevant experience and that you hold a current curriculum vitae, which will be available for inspection by City & Guilds at any time required. (You do not need to send it with this application form.)

If there is insufficient space, please list additional names and required details on a separate sheet of paper and attach it to this form, making sure you have ticked the box showing you have done so.

- 12 12.1 Give brief details of your candidate intake. For example are they in full or part time education/training? Are they employed or unemployed?
- 12.2 Most examination centres run examinations for their own students but centres can open up their examinations to the public if they wish. Indicate whether you propose to accept external candidates. If so, give potential numbers.

Please note that external candidates often contact us asking for the name of a centre at which they can sit an examination. If you indicate you will take external candidates we may refer them to you. You will not be obliged to run an examination just to suit that candidate but you will be obliged to accept the candidate if they fit in with your arrangements for running a particular examination.

Centres accepting external candidates may charge an additional *local centre fee* (in addition to the examination entry fee) for candidates who are not their own students to cover the cost of invigilation, postage, stationery etc. Approval for the *local centre fee* must be given in writing by us. In some countries the *local centre fee* has been fixed for all centres in the country.

- 13 In section 7 you should have indicated if examinations will take place at any sites other than that listed on page one. If yes, you now need to give the full address(es) and telephone number(s) of the site(s). Please make sure you show if the site is a satellite (ie within approximately 30 minutes travelling time from the centre address shown on page 1) or a sub centre. **A separate Application for centre approval (CGI/CAP) must be attached for each sub centre.** (You do not need to complete a separate CGI/CAF or attach a letterhead for sub centre applications.)The standard approval fee will be charged for each separate application.
- 14 Please read the declaration in this section very carefully. You must also read the document *General terms* (Appendix 5). Before signing, make sure full consideration has been given to the implications for your centre. The head of centre must sign it.

In signing the declaration and submitting an approval application, you are demonstrating your commitment to establishing and maintaining the arrangements necessary to satisfy the approval criteria.

We audit **all** centres for ongoing compliance with both centre and qualification approval criteria.

3.14 Guidance on completing an *Application for credit – Form CGI/CAF*

Please use the form provided in this section or make a photocopy of it. Complete all sections of the form as requested in accordance with the following guidance notes. (Sub centres are not required to complete this form.)

- 1 Please enter the exact trading name of your centre.
- 2 Enter the appropriate details.
- 3 Please identify the type of organisation on behalf of which you are applying for approval and give the information requested.
- 4 If your organisation is operated under sole trader or partnership arrangements, please provide the home address(es) of the person(s) involved.
- 5 We may wish to take up references to support your application for credit facilities. Therefore, please provide the names of two organisations with whom you have had financial dealings and who would be prepared, if required, to provide information about your payment record with them.
- 6 Please provide full details of your bank account so that, if necessary, a reference may be sought.

7 Please read the declaration carefully. Before it is signed, make sure full consideration has been given to the implications for your centre. It must be signed by the head of centre or authorised signatory on behalf of the centre.

Submit the original and retain a copy for your records. The form **must** be accompanied by

- a current letterhead
- Form CGI/CAP and, where applicable, Form(s) CGI/QAP.

For more information on credit status and payment terms, see section 3.10 *Payment terms*.

You will not be required to submit any further applications for credit when seeking to offer additional qualifications.

If you have any queries, please contact:

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

3.15 Forms

The forms provided in this section should be treated as **master** documents. When required, please photocopy for use and retain the original here.

Application for centre approval (Form CGI/CAP)

Application for credit (Form CGI/CAF)

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Application for centre approval

Form CGI/CAP

Edition 2

Please use this form only if your organisation is **not currently approved** to offer any City & Guilds qualifications. It should be completed in accordance with the relevant guidance notes, the *Regulations for the conduct of examinations* and other appropriate sections of the *Centre guide – Delivering international qualifications*.

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

The postal address will be used for all future communications.

1 Name of centre

Address

Country

Postal address (if different from above)

Telephone no.

Fax no.

E-mail address

Website

(if applicable)

2.1 Name of person who will be responsible for the quality assurance of all the City & Guilds qualifications/examinations your centre intends to offer. This person will normally be the principal/head of centre/head of department and will be referred to by City & Guilds as the Assessment Manager.

Surname

Forename

Mr/Mrs/Ms/Dr* (*Delete as appropriate)

2.2 Official position

2.3 If different from above, telephone no.

Fax no.

2.4 E-mail address

3.1 Name of person nominated to be the City & Guilds Examinations Secretary.

Surname

Forename

Mr/Mrs/Ms/Dr* (*Delete as appropriate)

3.2 Official position

3.3 If different from above, telephone no.

Fax no.

3.4 E-mail address

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4.1 Please tick ✓ the appropriate box to indicate the type of organisation

Directly controlled by state authority

Private establishment

4.2 If controlled by state authority, please provide the following details:

Type of establishment, eg school, college, training organisation

Name of controlling state authority

Length of accreditation with state authority

Address

Telephone no.

Fax no.

4.3 If a private establishment, please provide the following details:

Type of establishment, eg college, training organisation, company

Funding: (please ✓)

commercial

charitable

government funded

other (please specify)

No. of years you have been established

If you are part of a larger organisation, please provide:

Name of parent organisation

Address of head office

Country

Telephone no.

E-mail address

Website

(if applicable)

5 Please tick ✓ the appropriate box(es) to declare if your centre has had a previous application for approval refused or withdrawn by City & Guilds or any other awarding/examinations body

Approval withheld

Approval withdrawn

If yes, please provide date and details

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6.1 Please tick ✓ the appropriate box to indicate whether practical assessment/sitting of examinations will be conducted at any address(es) other than that specified on page one, including satellite sites, sub centres and/or external organisations* (*for examination purposes only).

Practical assessment: Yes No

Sitting in examinations: Yes No

6.2 If yes,

Number of sites

- briefly describe relationship between your centre and the other site(s). If candidates are to be entered for examination through another organisation, please provide their name and City & Guilds centre no. or see 6.3 below.

- briefly explain the geographical spread of the sites.

6.3 If you wish City & Guilds to allocate an examinations centre, please tick ✓

7.1 Is your centre currently offering qualifications through other local or international awarding/examining bodies?

Yes No

7.2 If yes, please state the names of the main bodies concerned and the centre number allocated.

Awarding/examining body

Centre no.

<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

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8.1 Is your centre accredited/approved/recognised by

a the state education/training authorities

Yes No

b any national quality assurance programme

Yes No

c by any professional association?

Yes No

8.2 If yes, please state the authorities, quality assurance initiative(s), organisation(s), agency(ies) concerned and indicate the date of your last inspection (if applicable).

Name

Date of last inspection

_____	_____
_____	_____
_____	_____

9 Identify the evidence you will provide to a quality inspector/external verifier to satisfy the centre approval criteria.

Management and administration systems – criteria	Evidence
<p>C1 The roles, responsibilities, authorities and accountabilities of the assessment/examination team across all assessment sites are clearly defined, allocated and understood.</p>	
<p>C2 There are procedures to ensure effective communication between all staff involved with the administration, delivery, assessment and examination of City & Guilds qualifications.</p>	
<p>C3 The centre has equal opportunities and access to assessment policies and practice which are understood by staff and candidates.</p>	

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<p>C4 Procedures, accommodation and equipment are fit for purpose to ensure the security of all examination or external test materials and candidate scripts, assignments, projects or portfolios, in accordance with City & Guilds regulations.</p>	
<p>C5 There are procedures to ensure examinations are conducted by appropriate staff in accordance with City & Guilds examination and syllabus regulations.</p>	
<p>C6 Candidate records and details of achievements are to be accurate, kept up to date, securely stored and available for verification and auditing by City & Guilds.</p>	
<p>C7 The centre has an appeals procedure which is documented and made available to candidates.</p>	
<p>C8 There are procedures to ensure City & Guilds is notified of any changes which may affect the centre's ability to meet the approved centre criteria.</p>	

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Physical and staff resources – criteria	Evidence
<p>C9 Resources necessary to satisfy the requirements for individual qualifications and or examinations are/will be identified and provided.</p>	
<p>C10 Equipment and accommodation used for assessment and examination purposes comply with the requirements of relevant local health and safety legislation.</p>	
<p>C11 Accommodation is provided for candidates undertaking examinations which is suitably quiet, in an undisturbed location, with adequate heating, lighting, ventilation and complies with the relevant rules and regulations of City & Guilds.</p>	
<p>C12 Staff have sufficient time, resources and authority to perform their roles and responsibilities effectively.</p>	
<p>C13 A staff development programme to support the delivery of City & Guilds qualifications is established in line with identified needs.</p>	

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Assessment – criteria	Evidence
C14 Procedures are in place to ensure assessment is conducted in accordance with the requirements of individual qualifications and by appropriately qualified and occupationally expert staff.	
C15 Unit certification will be made available to candidates (where this is appropriate).	
Quality assurance – criteria	Evidence
C16 An effective system for quality assurance of assessment is in place eg a nationally recognised quality assurance programme.	

Centres seeking approval for the purposes of practical assessments and written and/or online examinations

Please go straight to section 14 – Declaration (You do not need to complete sections 10, 11, 12 or 13)

Centres seeking approval for the purposes of written and/or online examinations only

Please complete **all** remaining sections (10-14)

10 Details of the qualification(s)/complex(es) for which you wish to enter candidates for examinations. (To be completed by centres seeking approval for examinations only. All others to use a form CGI/QAP).				
Title (including level, if appropriate)	Qualification no(s).	Date of first examinations	No. of entries (approx.)	
			Year 1	Year 2
1				
2				
3				
4				
5				
6				

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11 Please provide details of every tutor/trainer for each of the qualifications indicated and tick (✓) appropriate boxes to show they have relevant experience and confirm a current curriculum vitae is available for inspection. If you have needed to attach an additional sheet, please ✓

Is GOLLA access required?

Yes No

Name	Qualification ref. (Show as 1-6 from section 10)	Hold relevant teaching/training experience	Location (Show as Q13 ref.)	CV available for inspection

12.1 Please provide details of your proposed candidate intake for these examinations.

12.2 If you propose to accept external candidates, please give potential numbers for first year.

13 If applicable, please list names, addresses and telephone numbers of all satellite sites/sub centres at which examinations will take place and tick (✓) appropriate boxes to indicate nature of site. (A separate Form CGI/CAP must be attached for any sub centre.)

13.1 satellite site
or
sub centre

13.2 satellite site
or
sub centre

13.3 satellite site
or
sub centre

13.4 satellite site
or
sub centre

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14 Declaration (to be signed by the 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 International Ltd and that 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 set out in the *Centre guide – Delivering international qualifications*, the *Regulations for the conduct of examinations* and/or the relevant syllabus information issued by City & Guilds and any revisions or additions to such policies, regulations, requirements, procedures and guidelines which apply from time to time.

Surname

Forename

(BLOCK CAPITALS)

Mr/Mrs/Ms/Dr* (*Delete as appropriate)

Official position

Signature

Date

Please send this form and one copy to City & Guilds, 1 Giltspur Street, London EC1A 9DD or the relevant local office. Ensure that all attachment sheets are included. Retain a copy for your files.

NB You must enclose separate application forms (CGI/CAP and, if appropriate, CGI/QAP) for each sub centre listed in section 13 of this form.

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Application for credit

Form CGI/CAF



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

1 Trading name of centre

(Please ensure this is your exact trading title)

2 Invoice address

Country

Finance Department contact name

Telephone no. Fax no.

E-mail address

3 Type of company
(Please tick ✓ the appropriate box and provide the other information requested.)

Limited Plc Sole trader Partnership

Other *(please specify)*

How long established _____ Number of employees _____

Approximate annual turnover £ _____ Anticipated monthly turnover with City & Guilds £ _____

Company registration no *(if applicable)*

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

Name	_____	Name	_____
Address	_____	Address	_____
_____		_____	
_____		_____	
Country	_____	Country	_____

Please send this form and one copy to City & Guilds/branch office, together with Forms CGI/CAP and, if appropriate, CGI/QAP. Ensure that all attachment sheets are included. Retain a copy for your files.

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

Name	Name
Address	Address
Country	Country
Telephone no.	Telephone no.
Fax no.	Fax no.
Contact	Contact

6 Bank reference.

The authorised signatory in Section 7 below gives specific authority to City & Guilds to contact the bank for a reference. Bank details are as follows.

Name of Bank or Building Society

Address

Country

Branch sort code

Name(s) of account holder(s)

Account number

7 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 (BLOCK CAPITALS)	Forename Title Mr/Mrs/Ms/Dr* (<i>*Delete as appropriate</i>)
Official position	
Signature	Date

Date 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 the information with other businesses. We may also make enquiries about the principal directors with a credit reference agency.

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4 Qualification approval

If you are applying to City & Guilds for qualification approval for the first time you will normally do so at the same time as applying for centre approval, as described in section 1 *Introduction* and section 3 *Centre approval*; an external verifier will then undertake a joint centre and qualification approval visit to ensure your centre satisfies both sets of criteria.

You should normally complete a separate *Application for qualification approval* (Form CGI/QAP) for each qualification you wish to offer. However, a single application may be submitted for up to three:

- qualifications from the same subject area that may have similar resource requirements, eg *Food preparation* (7065) and *Food and Beverage Service* (7066).
- complexes of a single group of qualifications, eg
International Tourism (4867)
 - 01 *Certificate in International Tourism*
 - 02 *Diploma in International Tourism*
 - 03 *Advanced Diploma in International Tourism*.

The procedures for making an application for qualification approval are summarised below.

Guidance on the requirements for delivering on-line examinations can be found in Appendix 6.

4.1 Procedures for qualification approval

4.1.1 Initial application

- 1 You will need to
 - complete an *Application for qualification approval* (Form CGI/QAP)
 - send the original, plus one copy, together with supporting evidence see pages 4–6 to 4–8 for examples to City & Guilds head office or the relevant branch office.
- 2 We will
 - review the completed Form CGI/QAP and any attachments
 - advise you if any additional information is required before your application may be processed further
 - refer to related successful qualification approval applications your centre has made in the past, if applicable, to determine the need for a qualification approval visit
 - send the copy of the form, subject to sufficient and satisfactory evidence being provided, to an external verifier, who may request additional information from you, if necessary
 - ask the external verifier either to undertake an approval visit (please see below) or make a recommendation on the basis of the information on the application form

- advise you of the name of the external verifier who will be contacting you
- confirm to you in writing the outcome of the application, normally within 4-6 weeks of receipt of your application and all supporting evidence.

4.1.2 Application requiring an approval visit

A visit by an external verifier is included as part of our standard approval process unless particular circumstances apply. (See 4.1.3).

Please note that if your centre is multi-sited, ie has satellite sites at which assessments will be carried out, the external verifier will need to visit **each** site to ensure compliance with the approval criteria. Should satellite centres not be within easy reach of the main centre, additional visit(s) may be required. This could incur a fee.

Prior to the visit

The external verifier will

- agree a visit schedule with your assessment manager
- send a *Visit planner* (Form CGI/VPL) confirming any special arrangements made, eg a visit to satellite site(s)
- indicate any points within the application which need clarification/discussion
- identify the members of staff* s/he wishes to meet.

* These will include the assessment manager, the internal verifier(s) for each qualification to be offered and as many of the assessors as are available.

During the visit

The external verifier will

- look for evidence to confirm that you have met or have the potential to meet all qualification approval criteria
- ensure that systems exist for advising all staff involved with assessment and verification for the qualification of their roles and responsibilities
- give any help or advice required.

The duration of the visit will vary, depending on the size/complexity of the centre and the number of complexes for which approval is being sought. However, it will be at least half a day.

At the end of the visit

The external verifier will

- complete a report, which will include an action plan
- leave a copy of the report for the assessment manager
- forward a copy of the report to City & Guilds head office/appropriate branch office

4.1.3 Application not requiring an approval visit

A visit is normally required as part of the standard approval process. However, exceptionally one may not be necessary if your centre is already approved to offer and delivering successfully a City & Guilds qualification and, for example, you wish to offer an additional qualification with similar resource requirements and within the same group of qualifications.

1 We will

- review the completed Form CGI/QAP and any attachments
- advise you if any additional information is required before your application may be processed further
- review our records to ensure that you are currently demonstrating on-going compliance with centre approval criteria and other qualification approval criteria
- send a copy of the completed Form CGI/QAP, subject to sufficient and satisfactory evidence being provided, to an external verifier and ask him/her to undertake a desk-based review
- upon receipt of the external verifier's report, confirm to you in writing the outcome of the application, normally within 4-6 weeks of receipt of your application and all supporting documentation.

2 The external verifier will

- review the information provided to check there is sufficient evidence to indicate your ability to operate satisfactorily the qualification for which you are now seeking approval
- contact, if necessary, your assessment manager or the internal verifier responsible for the qualification for which approval is sought to request clarification or additional information
- complete a report, which will include an action plan
- send a copy of the report to City & Guilds head office/appropriate local office.

Inspection visits

Please note that if an approval visit is not required, you will be subject to random inspections at any time deemed appropriate by City & Guilds, to ensure that you satisfy the approval criteria and can provide the evidence specified on the application form.

4.2 Notification of approval decision

You must await formal notification from our head office/local office of our approval decision before undertaking any assessments/examinations. We do not grant conditional approval, unless there are minor issues which can be easily remedied within the required timescale. However, please note the following:

As a single *Application for qualification approval* (Form CGI/QAP) may be submitted for a single qualification or up to three qualifications from the same subject area that may have similar resource requirements or complexes of a single group of qualifications, the external verifier's report and recommendations will normally reflect the nature of the application, so there may a number of outcomes:

Qualification approval granted for all qualifications listed on Form CGI/QAP

If we are satisfied that you meet the approval criteria for all the qualifications you have specified within a single application form, we will

- notify you in writing that approval has been granted, specifying the individual qualification or group of qualifications
- allow you to register candidates and undertake competence based or mixed assessment activities for all the relevant qualification(s).

Qualification approval withheld for all qualifications listed on Form CGI/QAP

Where insufficient evidence to satisfy the approval criteria has been provided for the individual qualification(s) for which the application has been sought, we will advise you of the:

- areas that need to be developed further
- additional evidence required.

Once the action has been implemented, you should contact City & Guilds head office/branch office. We will request evidence to confirm that the approval criteria have been satisfied. If necessary, another approval visit may be made. Please note that this will incur a charge.

You will not be able to enter register or assess candidates for a particular qualification until approval has been granted.

To appeal against a decision to withhold approval, please follow the procedures described in section 12 *Reviews, appeals, complaints and infringement of rules*.

Qualification approval granted for one or more qualifications but withheld for other(s) listed on Form CGI/QAP

In the case of a multi qualification application, failure to provide sufficient evidence that you meet our approval criteria for every qualification does not necessarily result in our withholding overall approval. If you meet the full approval criteria for at least one of the qualifications, we will

- notify you in writing that approval has been granted for the individual qualification(s), for which you will be allowed to
 - register candidates
 - undertake competence based or mixed assessment activities for the relevant qualification(s).
- specify the individual qualification(s) for which approval is withheld and tell you the
 - areas that need to be developed further
 - additional evidence required.

Once the required action has been implemented, you should contact City & Guilds head office/branch office. We will request evidence to confirm that the approval criteria have been satisfied. If necessary, another approval visit may be made. Please note that this will incur a charge.

4.3 Period of approval

Any qualification approval(s) granted will run concurrently with the period for which centre approval is valid, subject to ongoing compliance with the approval criteria, for a maximum period of **two years**.

Please note that centres are subject to random inspection visits at any time we deem appropriate, including at examination time, to ensure compliance with our approval criteria.

4.4 Re-approval

Qualifications re-approval will be due at the same time as centre re-approval is required, so please see section 3.7 for full details.

4.5 Updating qualifications approval information

If in future there are changes to the details you have provided at the time of applying for approval, eg a new assessor or changes of a nature which in any way may affect your ability to satisfy our approval criteria, you must notify us immediately. Please refer to section 5 *Updating approval information* for full details.

Failure to notify us of changes may result in withdrawal or suspension of centre and/or qualification approval.

4.6 Withdrawal and suspension of approval

Please refer to section 3.9 for full details.

4.7 Important reminders

- The documentation submitted in support of approval applications must include an original Form CGI/QAP, plus one copy.
- The approval process may take 4 – 6 weeks to complete from initial receipt of the application form and all supporting documentation. Please work to this timescale when planning assessments.
- We always try to process applications as quickly as possible, but the following circumstances can cause a delay:
 - centres not completing Form CGI/QAP as required
 - not including the necessary attachments
 - peak holiday periods – external verifiers may be unavailable for visits or centres may be closed.
- Where multiple qualification approval applications require approval visits, more than one external verifier may visit a centre.

- Once granted, qualification approval continues for a period of up to two years subject to ongoing compliance with the qualification approval criteria. You will then need to reapply, but approval will be a desk-based procedure unless your centre
 - has not provided assessments for the qualification for a period of two years
 - has had qualification approval withdrawn because the approval criteria are no longer being met
 - has had centre approval withdrawn.
- Should qualification approval criteria be revised, centres will be notified of the revised criteria with guidance on appropriate timescales for introduction of changes. All existing approved centres are required to comply with such changes.

4.8 Qualification approval criteria and examples of supporting evidence

The criteria listed in this section **supplement** the criteria specified for centre approval and relate to **qualification** approval. You will need to show how you satisfy/will be able to satisfy these criteria. An external verifier will want to see the evidence you have listed when carrying out approval and subsequent verification visits.

We audit all centres for ongoing compliance with both **centre and qualification** approval criteria.

We have identified possible sources of evidence but we recognise some may not be fully available until you are actually delivering City & Guilds qualifications, for example:

Quality assurance – criteria	Examples of evidence
Q12 Assessment decisions and practices are regularly sampled, findings acted upon to ensure quality, consistency and fairness and records made available for the purposes of auditing.	Sampling strategy document/sampling plans Records of assessment sampling activities Internal verification reports Minutes of assessment team meetings Records of networking/standardisation events.

In these circumstances you need to list the type of evidence you will provide, as suggested above, and then at the time of the approval visit show how you will develop a sampling strategy and individual sampling plans; frequency of assessment team meetings, etc. An external verifier will then wish to look at the relevant plans and records and talk to assessors when undertaking his/her first verification visit.

Physical and staff resources – criteria	Examples of evidence
Q1 Resource needs are accurately identified in relation to the specific qualification offered and resources are made available.	Records of resources available Procedures used to identify deficiencies to senior management Evidence of additional resources obtained as necessary.
Q2 Equipment, accommodation and procedures used for the purposes of assessment and examination comply with relevant local health and safety requirements.	Details of local health and safety regulations, centre's health and safety policies and audit reports Records of accommodation checks Equipment maintenance records/schedules.
Q3 Assessment and verification is conducted by qualified and occupationally competent staff and there are sufficient to meet the demand for assessment and verification activity.	List of assessors and verifiers CVs and development plans for assessors and internal verifiers Assessor/candidate ratios.
Assessment – criteria	Examples of evidence
Q4 Information, advice and guidance about qualification procedures and practices are provided to candidates and potential candidates.	Candidate guidance and induction materials Details of support services available Appeals procedures and Equal Opportunities policy Oral confirmation by candidates.
Q5 Candidates' development needs are matched against the requirements of the qualification(s) and an agreed assessment plan is established.	Candidate initial assessment procedures Candidate assessment plans Equal opportunities policy.
Q6 Candidates have regular opportunities to review their progress and goals and to revise their assessment plan accordingly.	Candidate assessment plan(s)/examples of revisions of assessment plans Details of frequency of review meetings.
Q7 Particular assessment requirements of candidates are identified and met where possible.	Materials/equipment/facilities to support candidates with particular requirements.

Assessment – criteria	Examples of evidence
Q8 Access to assessment is encouraged through the use of a range of valid assessment methods.	Assessment plans and candidate assessment records Provision for candidates with particular assessment requirements.
Q9 Queries about the qualification specification/ delivery, assessment guidance or related City & Guilds' material are resolved and recorded.	Records of queries raised with City & Guilds Records/minutes of queries raised with the internal verifier.
Q10 Any additional criteria relating to the specified qualification(s), eg the <i>Access Certificate in English Language Teaching</i> (ACE) requires that assessors have undertaken a standardisation exercise using an ACE video.	Evidence stipulated in specific qualification documentation, eg completed standardisation form for each member of staff.
Quality assurance – criteria	Examples of evidence
Q11 Assessment decisions and practices are regularly sampled, findings acted upon to ensure quality, consistency and fairness and records made available for the purposes of auditing.	Sampling strategy document/sampling plans Records of assessment sampling activities Internal verification reports Minutes of assessment team meetings Records of networking/standardisation events.

4.9 Guidance on completing the *Application for qualification approval* (Form CGI/QAP)

You should normally submit a **separate** application for **each** qualification for which you are seeking approval. If, however, you wish to offer up to three qualifications from the same subject area that have common resource requirements, eg catering, a single application form may be used.

Please treat the form provided in this section as a master document and photocopy before use.

Complete the form in accordance with the following guidance notes and refer to other sections of this *Centre guide* as appropriate. You must submit an original and one copy of Form CGI/QAP and retain one copy for your records.

If your application is successful, approval will relate only to the particular qualifications/ complex(es), you indicate on the form. If, at a later date, you wish to offer additional awards within the qualification, you must submit another form.

If your centre is not currently approved to offer any qualifications through City & Guilds, you must also include Form CGI/CAP completed as requested in section 3.13.

- 1 Please enter the appropriate qualification details.
- 2 Enter the appropriate details.

If your organisation is already an approved City & Guilds centre, please enter your centre number. Leave the space blank if your organisation has not yet received centre approval.

A sub centre acting on a centre's behalf for the assessment of a qualification is considered as a separate entity (see section 3.1.2) for approval purposes and is allocated a sub centre suffix to the main centre number. If this qualification application is being made on behalf of a sub centre for which no number has yet been allocated, please provide the full name of the main centre.

- 3 Please refer to section 2, *Role of key participants in assessment, verification and examination*, of this guide for information on the roles of the internal verifier co-ordinator and internal verifier and enter the appropriate details. Where there is only one internal verifier involved with the qualification, please enter the name as requested. In this case, s/he will need to carry out the liaison function of the internal verifier co-ordinator, as described in section 2.
- 4 Complete as requested.
- 5 Please refer to the *International Catalogue of examinations and assessments* for exact title and qualification/complex numbers.
- 6 Please provide details of proposed candidate intake, indicating whether candidates will be in training, employment or unemployed, and provide other relevant information. (See section 3.13, points 13.1 and 13.2.)
- 7 Complete if applicable. Refer to section 3.1.1 so that you fully understand the requirements for satellite sites. If there is insufficient space to list all satellite sites, please photocopy the appropriate page of the form and attach two copies with the additional details. Please number each additional satellite site listed, beginning at 7.8.
- 8 Refer to the column headings reproduced below and complete the form as indicated.

Name	– provide the name of each internal verifier, assessor or tutor/trainer.
IVC/IV/A/T	– using the appropriate abbreviation, indicate which role(s) the named person will be undertaking.

- Location ref – this is the number which corresponds to the satellite site(s) you listed (if any) in section 7 of the form. Use this number to indicate the satellite site at which the IVC/IV/A/T is based. Leave blank if the named person is based at the main centre address.
- Occupational exp. – tick this box to confirm that the person has the occupational expertise necessary to perform the role.
- Teaching/training exp. – tick this box to confirm that the person has the teaching/training expertise necessary to perform the role.
- Assessing experience – tick this box to confirm that the person has the experience of carrying out assessments necessary to perform the role.
- CV available – tick this box to confirm that you have a current curriculum vitae for this member of staff and that it will be available for inspection by City & Guilds at any time required. (You do not need to send it with this application form.)

Please ensure that all staff involved with the delivery of the qualification(s) are included. If there is insufficient space to list everyone, attach two copies of a separate sheet with the additional details. Please ensure you include the corresponding reference number of any satellite site. All CVs must be made available for inspection and the external verifier may request documentary evidence to confirm occupational/teaching/training/assessing qualifications and/or expertise.

- 9 Please identify the type of evidence you will present to satisfy the qualification approval criteria specified. Approval will be granted only if the evidence is sufficient to indicate the suitability and capability of your centre to operate the qualification satisfactorily. All criteria must be met.

Please note that the items of evidence listed in 4.8 are **examples** only and alternative evidence which satisfies the criteria will be accepted. You will not be expected to produce different items of evidence where one will satisfy a number of criteria.

You must present evidence to satisfy the approval criteria for each qualification you intend to offer. However, where some or all of the evidence is the same as that presented for a previous, successful application (although it may have been for a different qualification), you need only identify the additional evidence required. In this case, please indicate the qualification(s) for which relevant evidence has previously been provided.

- 10 Please read the declaration in this section very carefully. You must also read the document *General terms* (Appendix 5). Before it is signed, make sure full consideration has been given to the implications for your centre. The assessment manager must sign it.

In signing the declaration and submitting a qualification approval application, you are demonstrating your commitment to establishing and maintaining the arrangements necessary to satisfy the approval criteria.

We audit **all** centres for ongoing compliance with both **centre** and **qualification approval criteria**.

4.10 Form

The form provided in this section should be treated as a master document. When required, please photocopy it for use and retain the original here.

Application for qualification approval (Form CGI/QAP).

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Application for qualification approval

Form CGI/QAP



You should normally submit a **separate** form for **each** qualification for which you are seeking approval. If, however, you wish to offer up to three qualifications from the same subject area that have common resource requirements, eg catering, a single application form may be used. It should be completed in accordance with the relevant guidance notes, other appropriate sections of the *Centre guide – Delivering international qualifications* and with reference to relevant specific qualification documentation. If your organisation is **not** currently approved to offer any qualifications through City & Guilds, this form must be accompanied by the *Application for centre approval* (Form CGI/CAP).

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

1 Title (and level where appropriate) and number of qualification(s) for which approval is sought:

Title

Title

Title

Is GOLLA access required? Yes No

2 Name of centre Country

City & Guilds centre number, if already allocated /

If this application is being made as a sub centre for which a centre number has not yet been allocated, please tick (✓) and give

Name of main centre

3.1 Name of the internal verifier/internal verifier co-ordinator* to be responsible for the qualification(s). (*Delete as applicable.)

Surname Forename

Mr/Mrs/Ms/Dr* (*Delete as appropriate)

3.2 Official position

3.3 Telephone no. Fax no.

E-mail address

4 Please tick ✓ the appropriate box(es) to declare if your centre has had a previous application for approval withheld or withdrawn by an awarding body

Approval withheld Approval withdrawn

If yes, please provide date and details

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5 Details of the qualification(s) you wish to offer.				
Title (including level, if appropriate)	Qualification no(s).	Date of first practical assessment (approx.)	No. of registrations (approx)	
			Year 1	Year 2

6.1 Please provide details of your proposed candidate intake for the qualifications, at each level.

6.2 If you propose to accept external candidates, please give potential numbers for first year

7 If applicable, please list names, addresses and telephone numbers of all satellite sites at which assessments for the qualification(s) will take place.

Loc Ref:
7.1

Loc Ref:
7.2

This page is intentionally blank

Loc Ref:
7.3

Loc Ref:
7.4

8 Details of each internal verifier, assessor and tutor/trainer who will be involved with the qualification(s). Please provide location reference and tick ✓ appropriate box(es) to indicate they have relevant experience and confirm a current curriculum vitae is available for inspection. Page [] of []

Name	IVC/IV/ A/T	Location Ref.	Relevant occupational experience	Teaching/ training experience	Assessing experience	CV available for inspection

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9 Identify the type of evidence you will present in order to satisfy the qualification approval criteria listed below.	
Physical and staff resources – criteria	Evidence
Q1 Resource needs are accurately identified in relation to the specific qualification offered and resources are made available.	
Q2 Equipment, accommodation and procedures used for the purpose of assessment and examination comply with relevant local health and safety requirements.	
Q3 Assessment and verification is conducted by qualified and occupationally competent staff and there are sufficient to meet the demand for assessment and verification activity.	
Assessment – criteria	Evidence
Q4 Information, advice and guidance about qualification procedures and practices are provided to candidates and potential candidates.	
Q5 Candidates' development needs are matched against the requirements of the qualification(s) and an agreed assessment plan is established.	

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<p>Q6 Candidates have regular opportunities to review their progress and goals and to revise their assessment plan accordingly.</p>	
<p>Q7 Particular assessment requirements of candidates are identified and met where possible.</p>	
<p>Q8 Access to assessment is encouraged through the use of a range of valid assessment methods.</p>	
<p>Q9 Queries about the qualification specification/ delivery, assessment guidance or related City & Guilds' material are resolved and recorded.</p>	
<p>Q10 Any additional specified criteria relating to this/these individual qualification(s).</p>	

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Quality assurance – criteria	Evidence
Q11 Assessment decisions and practices are regularly sampled, findings acted upon to ensure quality, consistency and fairness and records made available for the purpose of auditing.	

10 Declaration (to be signed by the Assessment Manager 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 update* if there are any changes to the information in this application and, if qualification approval is given, the terms of the centre approval agreement will apply.

Surname _____ Forename _____
 (BLOCK CAPITALS) Mr/Mrs/Ms/Dr* (*Delete as appropriate)

Official position _____

Signature _____ Date _____

Please send this form and one copy to City & Guilds, 1 Giltspur Street, London EC1A 9DD or the appropriate local office. Ensure that all the attachment sheets are included. Retain a copy for your files.

If your organisation is **not** currently approved to offer any qualifications through City & Guilds, this form must be accompanied by the *Application for centre approval (Form CGI/CAP)*.

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5 Updating approval information

Centre and qualification approvals are granted on the basis of information submitted by centres at the time of seeking approval and confirmed by an external verifier or quality inspector undertaking a visit. If at any time there are changes to those details, eg changes to the assessment or verification team, etc or changes of a nature which in any way may affect your ability to satisfy our approval criteria you must notify us immediately. **Failure to notify us of changes may result in withdrawal of centre and/or qualification approval.**

5.1 Guidance on completing the *Approval application update* (Form CGI/APU)

You should complete and submit a CGI/APU form whenever there has been a change affecting the information on the *Application for centre approval* (Form CGI/CAP), *Application for qualification approval* (Form CGI/QAP) or a previous *Approval application update* (Form CGI/APU).

Complete the form in accordance with the following guidance notes and refer to other sections of this *Centre guide* as appropriate. Complete section 1 then 2 and/or 3 as applicable, to indicate information has changed, and provide details in section 4.

1 Please fill in the details required.

2 **Centre approval update:** Complete this section if there have been changes to information previously provided by ticking (✓) the appropriate box(es).

Walled garden contact (2.6) may be names of those who do not now need access.

Examination site (2.7) may include changes concerning

- the name, address or telephone number of a satellite site
- the addition of a satellite
- names of satellite site(s) no longer being used for examination purposes or no longer involved with your centre.

Other information (2.8) should include changes to information relating to the overall operation of your centre – this may include policies, practices or procedures for

- managing and administering qualifications
- equal opportunities
- assessment and internal verification.

3 **Qualification approval update:** You can use this section of the form to identify changes relating to a maximum of three qualifications or groups of qualifications. If there is insufficient space to list all the qualifications concerned, please use an additional copy of the form.

Complete this section if there have been changes to information previously provided.

Staff resources (3.2) – this may include

- additional assessors, please submit their CVs
- names of staff no longer involved with qualifications
- staff located at satellite sites
- achievement of relevant qualifications.

Physical resources (3.3) – this may include changes for qualification operation involving the

- equipment
- procedures
- premises.

Satellite site(s) (3.4) – this may include

- changes concerning the name, address or telephone number of a satellite site
- an additional satellite site
- names of satellite site(s) no longer operating assessments for a particular qualification or no longer involved with your centre.

Other information (3.5) – any other changes to the information relating to particular qualifications.

- 4 **Amended/additional information:** Number all sheets submitted, as indicated in the top right hand corner, eg page [1] of [2].

Complete the columns with the

- qualification details (the qualification/complexes you are offering)
- reference – this is the number which corresponds to the items in sections 2 and 3
- amended or additional information.

The example below illustrates how this section should be completed.

- 5 Please read the declaration in this section very carefully. You must also read the document *General terms* (Appendix 5). Before signing, make sure full consideration has been given to the implications for your centre. The assessment manager must sign it on behalf of the centre.

In signing the declaration and submitting an *Approval application update*, you are demonstrating your commitment to establishing and maintaining the arrangements necessary to satisfy the approval criteria.

Remember, failure to notify us of changes to the information submitted at the time of seeking centre/qualification approval or on subsequent approval updates may result in withdrawal of centre and/or qualification approval.

5.2 Form

A sample completed APU follows, for your guidance.

The blank form provided in this section should be treated as a master document. When required, please photocopy it for use and retain the original here.

Approval application update (Form CGI/APU)

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Approval application update

Form CGI/APU



Edition 3

Use this form to notify City & Guilds head office/local office of any changes to the information submitted on the *Application for centre approval* (Form CGI/CAP), any *Application for qualification approval* (Form CGI/QAP) or previous *Approval application update* (Form CGI/APU). This form should be completed in accordance with the guidance notes.

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

1 Centre	Centre no.
	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/>
Name of centre	Country
Name of assessment manager <u>Ian Nolan</u>	Contact telephone number/ Email address

2 Centre approval update

Please tick ✓ the appropriate box(es) if there are changes to the information you have previously provided relating to the following:

2.1 <input type="checkbox"/> Name of centre	2.5 <input type="checkbox"/> Name of examinations secretary
2.2 <input type="checkbox"/> Address (new letterhead required)	2.6 <input type="checkbox"/> Name of walled garden contact/gola representative
2.3 <input type="checkbox"/> Telephone no./fax no./e-mail address	2.7 <input type="checkbox"/> Examination site
2.4 <input checked="" type="checkbox"/> Name of assessment manager	2.8 <input type="checkbox"/> Other information eg <i>policies, procedures</i>

3 Qualification approval update

Please tick ✓ the appropriate box(es) if there are changes to the information you have previously provided relating to any of the following. If there is insufficient space to list all qualifications, please use a separate sheet.

	Qualification no.	Qualification no.	Qualification no.
	<u>4867</u>	<u>7235</u>	_____
3.1 Internal verifier	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 Staff resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 Physical resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4 Satellite site(s)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3.5 Other information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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4 Amended/additional information

The following information is submitted with reference to section 2 and/or section 3 on the preceding page. *Please photocopy this page if more space is required and number all sheets.*

Qualification title and no. (if applicable)	Ref(s)	Details
International Tourism (4867)	2.4	Our training manager, Ian Nolan, now undertaking role of Assessment Manager
	3.3	Ernest Townsend (assessor) retired – replaced by Elesh Khan. He has appropriate qualifications and experience (CV attached)
Applied Information Technology (7235)	3.2/3.4	Longmore site no longer being used. Assessors now all based at the Pretoria site

5 Declaration (to be signed by the Assessment Manager on behalf of the centre)

I declare that the information contained in this *Approval application update*, and provided in support of it, is correct and current and acknowledge that, if accepted by City & Guilds, this application and such information shall form agreed amendments to the agreement between us and City & Guilds International Ltd. We will submit a further *Approval application update* if there are any further changes to information supplied by us to City & Guilds.

Surname _____

Forename _____

(BLOCK CAPITALS)

Mr/Mrs/Ms/Dr* (*Delete as appropriate)

Official position _____

Signature _____

Date _____

Please send this form to City & Guilds, 1 Giltspur Street, London EC1A 9DD/local office **and a copy to each of the external verifiers** involved with the above qualifications. Ensure any attachments are included. Retain a copy for your files.

This page is intentionally blank

Approval application update

Form CGI/APU



Edition 3

Use this form to notify City & Guilds head office/local office of any changes to the information submitted on the *Application for centre approval* (Form CGI/CAP), any *Application for qualification approval* (Form CGI/QAP) or previous *Approval application update* (Form CGI/APU). This form should be completed in accordance with the guidance notes.

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

1 Centre	Centre no.
	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/>
Name of centre	Country
Name of assessment manager	Contact telephone number/ Email address

2 Centre approval update

Please tick ✓ the appropriate box(es) if there are changes to the information you have previously provided relating to the following:

2.1 <input type="checkbox"/> Name of centre	2.5 <input type="checkbox"/> Name of examinations secretary
2.2 <input type="checkbox"/> Address (new letterhead required)	2.6 <input type="checkbox"/> Name of walled garden contact/gola representative
2.3 <input type="checkbox"/> Telephone no./fax no./e-mail address	2.7 <input type="checkbox"/> Examination site
2.4 <input type="checkbox"/> Name of assessment manager	2.8 <input type="checkbox"/> Other information eg <i>policies, procedures</i>

3 Qualification approval update

Please tick ✓ the appropriate box(es) if there are changes to the information you have previously provided relating to any of the following. If there is insufficient space to list all qualifications, please use a separate sheet.

	Qualification no.	Qualification no.	Qualification no.
3.1 Internal verifier	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2 Staff resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3 Physical resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4 Satellite site(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.5 Other information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

This page is intentionally blank

4 Amended/additional information

The following information is submitted with reference to section 2 and/or section 3 on the preceding page. *Please photocopy this page if more space is required and number all sheets.*

Qualification title and no. (if applicable)	Ref(s)	Details

5 Declaration (to be signed by the Assessment Manager on behalf of the centre)

I declare that the information contained in this *Approval application update*, and provided in support of it, is correct and current and acknowledge that, if accepted by City & Guilds, this application and such information shall form agreed amendments to the agreement between us and City & Guilds International Ltd. We will submit a further *Approval application update* if there are any further changes to information supplied by us to City & Guilds.

Surname _____

(BLOCK CAPITALS)

Forename _____

Mr/Mrs/Ms/Dr* (*Delete as appropriate)

Official position _____

Signature _____

Date _____

Please send this form to City & Guilds, 1 Giltspur Street, London EC1A 9DD/local office **and a copy to each of the external verifiers** involved with the above qualifications. Ensure any attachments are included. Retain a copy for your files.

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6 Centre status

Quality assurance provision for established City & Guilds centres.

Approved City & Guilds centres that have been successfully delivering City & Guilds qualifications, with a proven track record, could gain benefit from a review of the standard monitoring schedule.

There are a number of factors which would influence this outcome. Centres would need to have been delivering City & Guilds qualifications for a sufficient period of time to demonstrate that they can support learners by

- maintaining a low staff turnover
- maintaining a history of successful candidate throughput
- continuing to provide appropriate accommodation that enables safe and secure access to assessment
- continuing to maintain the physical resources that enable access to assessment
- through external benchmarks, measuring and confirming that quality assurance processes and systems are sound
- staff continuing to update their competence(s) in particular achieving assessor and internal verifier qualifications as defined by City & Guilds
- a record of previous successful external verifier visits with issues in actions plans addressed, in a timely manner, prior to each subsequent external verification visit.

Centres who become eligible for a change in the standard monitoring process will be required to provide, to their local City & Guilds office, evidence of continuing commitment to meeting the approval criteria both for centre and qualification approval. This will take the form of:

- a statement relating to staff and physical resources
- records of internal verification activity eg
 - standardisation workshops for assessors
 - observation of assessors by internal verifier(s)
 - continuing professional development activities and records
 - current and updated quality assurance accreditation body reports
 - copies of certificates obtained by staff relevant to the delivery of relevant qualifications including assessor and internal verifier qualifications.
- updated quality assurance accreditation body reports and copy of current certificate, if applicable.

This information will be required within timescales decided by your local office.

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7 Administrative requirements

In this section we set out an overview of the administrative arrangements for registering/entering candidates for examinations/assessments and claiming certification. However, it is important to note there are different procedures, depending on the type of qualification to be offered. This section of the *Centre guide* is therefore divided into two separate parts:

- Administrative requirements – International vocational qualifications
- Administrative requirements – single subject examinations.
(‘Single subject’ normally refers to a qualification with examination-based assessment that focuses on one area of skill or expertise eg Word-processing.)

The information is provided for general guidance purposes and must be read in conjunction with the following documents.

Essential documents

Before starting to deliver a City & Guilds qualification you must refer to the following documentation:

- Qualification syllabus. This includes procedures and regulations specific to individual qualifications.
- *International catalogue of examinations and assessments*. This provides the following details for all our international qualifications
 - the entry procedures (whether you need to use Form S or Form BB)
 - components that are practical assessments
 - components that are examinations
 - dates and times of examinations (where applicable)
 - calendar showing processing periods
 - the fee codes.
- Fees list, which will include registration, entry and certification fees.
- *Form S*, a multipurpose form used for
 - registering candidates
 - entering candidates for examinations (dates specified by City & Guilds)
 - sending us results of practical assessments.
- *Form BB, Block booking entry form* used for
 - entering candidates for single subject examinations (dates selected by centre)
- Any other forms that may be required.

Important notes relating to examinations

The administrative arrangements specified in the following sections, together with the *Regulations for the conduct of examinations* (section 8 of this *Centre guide*), govern the conduct of City & Guilds examinations. A centre's failure to observe any one of these may result in the cancellation of all the examination papers and forfeiture of fees. Serious infringement may result in the termination of the centre's approval. (See section 3.9 *Withdrawal and suspension of approval*.) However, we first draw your attention to the following points:

- All question papers, online assessments and computer-based assessments carry copyright and must not be retained or copied in any form in whole or in part, except for the use set out in section 8.13.2.
- We take every care to ensure that all examination papers are correctly issued and processed. However, we cannot be held responsible for any loss or damage in whatever circumstances, which includes direct, indirect or consequential loss of any nature, which may occur which is not caused by the negligence of City & Guilds.
- We reserve the right to make changes to the regulations governing the administration and conduct of examinations from time to time. We will provide reasonable notice to centres of any changes.

Examination stationery and entry forms

Guidance notes for centres

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1 Introduction

This document contains examples of completed forms, plus notes for guidance; it is designed to assist centre administrators in the completion of examination stationery and entry forms – it can also be found online at www.cityandguilds.com/centreadmin within the ‘form guidance’ section.

Please ensure that all invigilators and examination secretaries are provided with a copy of this document.

Incomplete or inaccurate data, including incorrectly completed forms, will inevitably cause delays in processing and may delay the despatch of question papers and the subsequent issue of results; it is therefore essential that all candidate entry data provided is correct and complete.

Listed below are some essential ‘rules’ when completing forms; however, we strongly recommend you familiarise yourself with the completed examples provided later on in this document.

Pre-printed data

Manual amendments/annotations **must not** be made to pre-printed data. Any discrepancies between materials expected and those received must be reported immediately to the contact details on page 06.

Completion of forms

All forms must be completed in block capitals **using black or blue ink**; all data provided must be kept within the boxes provided, see example below.

Characters outside boxes
This character is ‘A’. Our scanning software recognises the area indicated by the red box, this would need to be manually verified.

→

BLOCK CAPITALS and BLACK or BLUE ink only

A	B	C	1	2	3	4	7	P	H	N	I
Date of birth		17-06-1984				Other details					

←

Unclear characters
This example could be a ‘T’ or a ‘J’, this could be misinterpreted by our scanners or verifiers.

Candidate date of birth

Dates of birth are a mandatory requirement. If a date of birth is not provided a **default** date of **01.01.1900** will be used. Please be aware that this date will appear on all documents including any certificates issued.

Candidate attendance indicator

The IC is essentially a register of attendance; therefore, an indicator of Present or Absent **must** be provided for each candidate listed. Clearly, for any candidate marked Present there must be an accompanying MA or worked script.

Invigilator’s signature

ICs **must** be signed by the invigilator.

2 Pre and post examination procedures

Receipt of examination materials

On receipt of any materials from City & Guilds it is important to check the content provided against the accompanying delivery note. For on demand examinations it is **essential** that an **additional check** is carried out to ensure that the 'version' number printed on question papers, ICs and multiple choice answer sheets (MA) **match**. Any discrepancies/mismatches must be reported immediately using the contact details provided below:

For UK centres and UK administered centres:

Email: qpreceipts@cityandguilds.com

Telephone: +44 (0)20 7294 2787

For International Branch administered centres:

Your local City & Guilds branch office.

Non receipt of examination materials

If you have **not** received materials that you were expecting, i.e. for which you have received an order confirmation, please report this immediately using the contact details below:

For UK centres and UK administered centres:

Email: centresupport@cityandguilds.com

Telephone: +44 (0)20 7294 2787

For Branch administered centres:

Your local City & Guilds branch office.

Once you are satisfied that you have received everything listed on the delivery note please ensure that any examination papers are stored in a secure location, in accordance with the 'regulations for the conduct of examinations' guidance information, this document can be found at www.cityandguilds.com/centreadmin in the 'examinations' section.

Conducting examinations

Examinations must be conducted in accordance with the regulations documented in the 'regulations for the conduct of examinations'. This document can be found at www.cityandguilds.com/centreadmin in the 'examinations' section.

Post examination

It is the centre's responsibility to ensure that all details required on examination documents are completed in full and that the information provided is correct. Incomplete or inaccurate data, or incorrectly completed forms, will inevitably cause a delay in processing and may affect the issue of results.

Returning completed scripts

With the exception of branch administered centres who should return exam materials to the local branch office all completed and unused examination materials should be returned to the address indicated on the invigilation certificate within one working day of the examination. If an examination does not take place, return all exam forms and materials immediately with '**exam not sat**' written clearly across the invigilation certificate. It is recommended that you use a traceable delivery service to minimise the risk of your parcel being lost in transit.

Candidate amendments

Any changes to candidate details should be completed before certificates are issued. Candidate amendments should be made online via the Walled Garden or by following the instructions which can be found at www.cityandguilds.com/centreadmin under the 'amend centre and candidate details' section.

3 1050 – Named multiple choice invigilation certificates (IC)

Multiple choice IC are used for all multiple choice examinations where all candidate details are provided on entry.

TOP COPY WHITE

Multiple choice invigilation certificate

Centre: 019999 CGLI Test Centre
 Qualification: 7065-12 Diploma in Food Preparation and Cooking (Culinary Arts)
 Assessment: 7065-016 Food Preparation and Cooking (Culinary Arts) Principles 2: Multiple-choice
 Exam date: Mon 01 Dec 2008 Start time: 09:30 End time: 12:00 Exam Version: Page 1 of 1

City & Guilds
 City & Guilds delivery reference: 0605001050
 Centre cohort reference:

Enrolment number	Candidate name	Attendance	City & Guilds only
ABC1234	JOHN SMITH	✓	01

INVIGILATOR
 (The block and this invigilator's full name and the invigilator's full name in block capitals, signed and dated.)

INVIGILATOR'S NAME: J. NAME Date: 02/12/2008

EXAMINATOR'S SECRETARY
 (Please enter details with invigilator's signature and the invigilator's full name in block capitals, signed and dated.)

EXAMINATOR'S SECRETARY: E. SECRETARY Date: 02/12/2008

G) Ethnic code and particular requirements*

City & Guilds
 1 Giltspur Street
 London
 EC1A 9DD
 UNITED KINGDOM

F) Last name

W R I G H T

E) First name(s)

R I C H A R D B I L L Y

I) Gender

M

J) Date of birth

1 5 0 1 2 1 9 8 7

H) Enrolment number

E N R

K) Other details code*

C N

L) Other details text*

Z A 2 6 7 3

M) Date and time
 Should only be completed if the exam date or time is different to that printed on the top of this form.

Exam date: 0 2 1 2 2 0 0 8
 Start time: 0 9 3 0
 End time: 1 2 0 0

N) Invigilator
 Invigilator's full name in block capitals, signed and dated.

O) Exam secretary signature
 Date that MAs are sent to London, signed and dated.

Return address
 The address to which MAs should be returned.

D) Additional candidates
 Space is provided for two additional candidates per page.

Pre-printed text
 Contains centre and examination details. Please do not write here or alter this text in any way.

Candidate details
 Lists candidates that have been entered for the examination. 20 candidates per page.

*Refer to separate code listings at www.cityandguilds.com/centreadmin under 'form guidance'.

7-10 Examination stationery and entry forms

Version 3 Created: June 09 Owner: International Quality and Excellence

The pre-printed information on the form relates specifically to the order placed, therefore this form should not be used for any other examinations. Please do not amend the pre-printed information as this will inevitably cause processing delays. Should any of the pre-printed details be inaccurate please contact City & Guilds immediately.

Step 1

Use BLOCK CAPITALS and BLACK or BLUE ink to complete the form.

You must select either **present** or **absent** for all candidates listed on the form by ticking the relevant attendance box (field C), failure to do so **will cause a delay** in processing your MAs

Attendance (field C):

Present	Absent
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Step 4

Enter the candidate's enrolment number (field H).

Enrolment number (field H):

E	N	R	N	O	
---	---	---	---	---	--

if you do not have an enrolment number enter 'ENR'.

The candidate's gender (field I) and date of birth (field J) must be entered.

Gender (field I) and date of birth (field J):

Sex	M																			
Gender codes:	M – Male																			
Date of birth format:	DD-MM-YYYY (Day – Month – Year)																			

Step 7

Only complete field M if the exam date or time is different to that printed on the top of the form.

Date and time (field M):

Please indicate the actual date and time of this examination if different from that printed at the top of this form

Exam date	0	2	1	2	2	0	0	8
Start time	0	9	3	0				
End time	1	2	0	0				

Step 2

Additional candidates

In special circumstances City & Guilds will authorise candidates to sit an exam for which they have not been entered. Candidate details must be entered in the area provided at the bottom of the IC. Candidates may only be added if authorisation has been given by City & Guilds. Candidates added without authorisation may not be processed. (Step 3 shows how this section of the IC should be completed.) Additional fees apply, please see www.cityandguilds.com/centreadmin for more information.

Substituting candidates is not allowed under any circumstances.

No pre-printed candidate information should be amended on the IC, candidate amendments may be completed online or via the candidate amendment form.

Step 5

Enter other details code (field K) and the associated information in other details text (field L).

The information is only required for a small number of assessments, information can be found in individual qualification handbooks.

Other detail code (field K):

Other details code	C	N
--------------------	---	---

Other detail text (field L):

Other detail text	Z	A	2	6	7	3														
-------------------	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--

The sample used is for 'centre's own candidate number'.

Step 8

The invigilator must print their name, sign and date the form.

Sample invigilator (field N):

Invigilator	I hereby certify that this examination was carried out in accordance with the requirements set out in the latest version of City & Guilds Regulations for the conduct of examinations' document www.jacob.com/uk	
Signed	<i>J. NAME</i>	Date: 02/12/2008
	INVIGILATOR'S NAME	

Step 3

Enter the candidate's first name(s) (field E) and last name (field F) as it will appear on results and certificates. This information is not required if you have an enrolment number.

Middle names should be entered in the first name area separated by a single space as shown in the sample below.

First name(s) (field E):

R	I	C	H	A	R	D	B	I	L	L	Y									
---	---	---	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

Last name (field F):

W	R	I	G	H	T															
---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Step 6

Enter a particular requirement code (field G) where these apply, eg where amanuensis has been used.

Particular requirements code (field G):

Particular Requirements	D	Q
-------------------------	---	---

(Sample used – disqualified)

Please note that ethnic code (field G) is no longer used by City & Guilds. This section of the form can therefore be ignored.

Step 9

The examination secretary must ensure that the form is completed and all details supplied are correct, then complete the 'examinations secretary' section of the form. Examinations secretary (field O):

Examinations secretary	Date of despatch		02/12/2008	Signed	<i>E. SECRETARY</i>	Date	02/12/2008
------------------------	------------------	--	------------	--------	---------------------	------	------------

Completed forms and MAs (including unused MAs) should be returned no later than one working day after the examination.

5 4050 – Named examiner marked invigilation certificates (IC)

Examiner marked IC are used for all written examinations where all candidate details are provided on entry.

TOP COPY WHITE

Pre-printed text
Contains centre and examination details. Please do not write here or alter this text in any way.

Candidate details
Lists candidates that have been entered for the examination. 18 candidates per page.

Additional candidates
Space is provided for two additional candidates per page.

L) Date and time
If the exam date or time is different to that printed on the top of this form indicate correct details here.

M) Invigilator
Invigilator's full name in block capitals, signed and dated.

N) Exam secretary
Date that examination scripts sent to London, signed and dated.

Return address
The address to which examination scripts should be returned.

G) Ethnic code and particular requirements*
(Ethnic code is no longer used)

F) Last name

K) Other details text*

C) Attendance

B) Candidate name

A) Enrolment number

D) Enrolment number

E) First name(s)

I) Date of birth

J) Other details code*

H) Gender

*Refer to separate code listings at www.cityandguilds.com/centreadmin under 'form guidance'.

7-14 Examination stationery and entry forms

Version 3 Created: June 09 Owner: International Quality and Excellence

The pre-printed information on the form relates specifically to the order placed, therefore this form should not be used for any other examinations. Please do not amend the pre-printed information as this will inevitably cause processing delays. Should any of the pre-printed details be inaccurate please contact City & Guilds immediately.

Step 1

Use BLOCK CAPITALS and BLACK or BLUE ink to complete the form.

You must select either **present** or **absent** for all candidates listed on the form by ticking the relevant attendance box (field C), failure to do so **will cause a delay** in processing your scripts.

Attendance (field C):

Present	Absent
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Step 4

Enter the candidate's first name(s) (field E) and last name (field F) as it will appear on results and certificates. This information is not required if you have an enrolment number.

Middle names should be entered in the first name(s) area separated by a single space as shown in the sample below.

First name(s) (field E):
 R I C H A R D B I L L Y

Last name (field F):
 W R I G H T

Step 7

Only complete field L if the exam date or time is different to that printed on the top of the form.

Date and time (field L):

Please indicate the actual date and time of this examination if different from that printed at the top of this form.

Exam date	0 2	1 2	2 0 0 8
Start time	0 9	3 0	
End time	1 2	0 0	

Step 2

Additional candidates

In special circumstances City & Guilds will authorise candidates to sit an exam for which they have not been entered. Candidate details must be entered in the area provided at the bottom of the IC. Candidates may only be added if authorisation has been given by City & Guilds. Candidates added without authorisation may not be processed. (Step 3 shows how this section of the IC should be completed.) Additional fees apply, please see www.cityandguilds.com/centreadmin for more information.

Substituting candidates is not allowed under any circumstances.

No pre-printed candidate information should be amended on the IC, candidate amendments may be completed online or via the candidate amendment form.

Step 5

Enter other details code (field J) and the associated information in other details text (field K).

The information is only required for a small number of assessments, information can be found in individual qualification handbooks.

Other detail code (field J):

Other details code: C N

Other detail text (field K):

Other details text: Z A 2 6 7 3

The sample used is for centre's own candidate number.

Step 8

The invigilator must print their name, sign and date the form.

Invigilator (field M):

Invigilator

I hereby certify that this examination was carried out in accordance with the requirements set out in the latest version of City & Guilds' Regulations for the conduct of examinations' document.

Here please capture

INVI G I L A T O R ' S N A M E

Signed: *J. NAME* Date: 02/12/2008.

Step 3

Enter the candidate's enrolment number (field D).

Enrolment number (field D):

E N R M O

if you do not have an enrolment number enter 'ENR':

The candidate's gender (field H) and date of birth (field I) must be entered.

Gender (field H) and date of birth (field I):

Sex	M	Date of birth	1	5	0	2	1	9	8	7
-----	---	---------------	---	---	---	---	---	---	---	---

Gender codes:

M – Male

F – Female

Date of birth format:

DD-MM-YYYY (Day – Month – Year)

Step 6

Enter a particular requirement code (field G) where these apply, eg where amanuensis has been used.

Particular requirements code:

Particular Requirements: D Q (Sample used – disqualified)

Please note that ethnic code (field G) is no longer used by City & Guilds. This section of the form can therefore be ignored.

Step 9

The examination secretary must ensure that the form is completed and all details supplied are correct, then complete the 'examinations secretary' section of the form.

Examinations secretary (field N):

Examinations secretary

Date of dispatch: 02/12/2008

Signed: *E. SECRETARY* Date: 02/12/2008

Completed forms and scripts (including unused scripts) should be returned no later than one working day after the examination.

6 4051 – Un-named examiner marked invigilation certificates (IC)

Un-named examiner marked IC are used for all written examinations where no candidate details are provided on entry.

TOP COPY WHITE

Examiner marked invigilation certificate

Centre: 019999 CGLI Test Centre

Qualification: 8953-11 Level 1 Certificate in Book-keeping and Accounts

Assessment: 8953-011 Level 1 Certificate in Book-keeping and Accounts

Exam date: Mon 01 Dec 2008 Start time: 09:00 End time: 10:00 Exam Version: 061078 Page: 1 of 1

A	B	C	D	E	F	G	H	I	J	K	L	M	
1	2	3	4	JOHN									
2	5	6	1	9	9	0	C	N	Z	A	2	5	8
3													
4													
5													
6													
7													
8													
9													
10													
11													
12													
13													
14													
15													
16													
17													
18													
19													
20													
21													
22													
23													
24													
25													
26													
27													
28													
29													
30													

Pre-printed text
Contains centre and examination details. Please do not write here or alter this text in any way

K) Exam date and time
If the exam date or time is different to that printed on the top of this form indicate correct details here.

L) Invigilator
Invigilator's full name in block capitals, signed and dated.

A) Enrolment number

B) First name(s)

C) Last name

D) Ethnic code
(no longer used, please ignore)

E) Gender

F) Date of birth

G) Other details code*

H) Other details text**

I) Attendance

J) Particular requirements*

M) Exam secretary signature
Date that examination scripts sent to London, signed and dated.

Return address
The address to which examination scripts should be returned.

Results details (per candidate)
This is for City & Guilds internal use only.

*Refer to separate code listings at www.cityandguilds.com/centreadmin under 'form guidance'.

The pre-printed information on the form relates specifically to the order placed, therefore this form should not be used for any other examinations. Please do not amend the pre-printed information as this will inevitably cause processing delays. Should any of the pre-printed details be inaccurate please contact City & Guilds immediately.

Step 1

Use BLOCK CAPITALS and BLACK or BLUE ink to complete the form.

Enter the candidate's enrolment number (field A).

Enrolment numbers are a seven digit alphanumeric value that is assigned by City & Guilds, unique for each candidate. Enrolment numbers are formatted AAA1111.

Enrolment number (field A):

A	B	C	1	2	3	4
---	---	---	---	---	---	---

If you do not have an enrolment number enter 'ENR'.

Step 2

Enter the candidate's first name(s) (field B) and last name (field C) as it will appear on results and certificates. This information is not required if you have an enrolment number.

First name(s) (field B):

J	O	H	N																				
---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Last name (field C):

S	M	I	T	H																			
---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Step 3

The candidate's gender (field E) and date of birth (field F) must be entered.

Gender (field E) and date of birth (field F):

Sex																								
	M					1	7	-	0	6	-	1	9	9	0									

Gender codes:

M – Male

F – Female

Date of birth format:

DD-MM-YYYY (Day – Month – Year)

Step 4

Indicate if the candidate was present or absent (field I).

You must select either **absent** or **present** for all candidates on the form, failure to do so **will cause a delay** in the processing your scripts.

All scripts must be returned to City & Guilds regardless of whether candidates are present or absent.

Attendance (field I):

Present	Absent
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Step 6

Enter a particular requirement code (field J) where these apply, eg where amanuensis has been used.

Particular requirements code (field J):

Particular Requirements	D	Q
-------------------------	---	---

(Sample used – disqualified)

Please note that ethnic code (field D) is no longer used by City & Guilds. This section of the form can therefore be ignored.

Step 7

Only complete field K if the exam date or time is different to that printed on the top of the form.

Date and time (field K):

Please indicate the actual date and time of this examination
if different from that printed at the top of this form.

Exam date	0	2	1	2	2	0	0	8
Start time	1	0	3	0				
End time	1	1	4	5				

If the details are correct at the top of the form please leave this section blank.

Step 5

Enter other details code (field G) and the associated information in other details text (field H).

The information is only required for a small number of assessments, information can be found in individual qualification handbooks.

Other detail code (field G):

Other Details code	C	N
--------------------	---	---

Other detail text (field H):

Other Detail text	Z	A	2	5	8																				
-------------------	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

The sample used is for 'centre's own candidate number'.

Step 8

The invigilator must print their name, sign and date the form.

Invigilator (field L):

Invigilator	I hereby certify that this examination was carried out in accordance with the requirements set out in the latest version of City & Guilds 'Regulations for the conduct of examinations' document NAME (BLOCK CAPITALS)		
Signed	<i>J. name</i>	Date	02/12/2008

Step 9

The examination secretary must ensure that the form is completed and all details supplied are correct, then complete the 'examinations secretary' section of the form.

Examinations secretary (field M):

Examinations secretary	_____		
Date of despatch	03/12/2008	Signed	<i>E. SECRETARY</i>
Date	03/12/2008		

Completed forms and scripts (including unused scripts) should be returned no later than one working day after the examination.

7 4052 – Keyboarding invigilation certificates (IC)

Keyboarding IC are used for keyboarding examinations, no candidate details are provided on entry.

TOP COPY WHITE

Examiner marked invigilation certificate

Centre: 019999 CGLI Test Centre

Qualification: 8972-02 Elementary Certificate in Typewriting

Assessment: 8972-002 Elementary Certificate in Typewriting

Exam date: Mon 01 Dec 2008 Start time: 09:00 End time: 10:30

Exam Version: 71100 Page: 1 of 1

City & Guilds order reference: 06050004052

Centre cohort reference: DELGRP01

City & Guilds

Use BLOCK CAPITALS and BLACK or BLUE ink only.

J O H N S M I T H

A B C 1 2 3 4 M 1 7 0 6 1 9 9 0 2 3 D Q

C N Z A 2 2 5 8

F) Other details code*

Exam date: 0 2 1 2 2 0 0 8

Start time: 1 0 0 0

End time: 1 1 3 0

G) Other details text*

INVESTIGATORS NAME: J. MCGEE

INVESTIGATOR SIGNATURE: [Signature]

INVESTIGATOR DATE: 02/12/2008

H) Attendance

INVESTIGATOR SIGNATURE: [Signature]

INVESTIGATOR DATE: 03/12/2008

E) Ethnic code and particular requirements*

(Ethnic code is no longer used, please ignore)

D) Gender and date of birth

INVESTIGATOR SIGNATURE: [Signature]

INVESTIGATOR DATE: 03/12/2008

B) Last name

INVESTIGATOR SIGNATURE: [Signature]

INVESTIGATOR DATE: 03/12/2008

A) First name(s)

INVESTIGATOR SIGNATURE: [Signature]

INVESTIGATOR DATE: 03/12/2008

C) Enrolment number

INVESTIGATOR SIGNATURE: [Signature]

INVESTIGATOR DATE: 03/12/2008

I) Exam date and time

If the exam date or time is different to that printed on the top of this form indicate correct details here.

J) Invigilator

Invigilator's full name in block capitals, signed and dated.

K) Exam secretary signature

Date that examination scripts sent to London, signed and dated.

Return address

The address to which examination scripts should be returned.

Results details (per candidate)

This is for City & Guilds internal use only.


*Refer to separate code listings at www.cityandguilds.com/centreadmin under 'form guidance'

7-18 Examination stationery and entry forms

Version 3 Created: June 09 Owner: International Quality and Excellence

8 Electronic form S

This form is used for named registrations, block registrations, results entries, and dated entries. Electronic forms should only be used if the Walled Garden is not available. For more details on the Walled Garden go to www.cityandguilds.com/centreadmin and select 'data services'.



Form S - registration, results and dated entry submission

Please return completed forms as follows:
 For UK and Head Office administered centres, Email: sform_submission@cityandguilds.com
 For International branch administered centres, please email to your local branch email address.

Please use each cell where available

Centre number 0 1 9 9 9 9		Sub CGLI Test Centre		Centre name Mr M. Anagar		Centre contact name Mr M. Anagar	
Award number 7 0 5 5 1 2		Award title Diploma in Food Preparation and Cooking (Culinary Arts)		Purchase order reference number 0044 207 294 2800		D) Centre reference	
Tick one of these boxes <input type="checkbox"/> Named registration <input checked="" type="checkbox"/> Dated examination <input type="checkbox"/> Results		<input checked="" type="checkbox"/> The candidate name is not necessary if enrolment number given Dec		Ethnic code Booked registration Date of birth Sex M 17 08 90		Numbers of registrations needed Requirement Funding code Duplicate	
Enrolment number if known A 0 1 2 3 4 0 1 0		Candidate name JOHN SHIH		J) Ethnic code (no longer used, please ignore)		L) Funding code (no longer used, please ignore)	
F) Enrolment number		G) Candidate name		H) Gender		I) Date of birth	
N) Unit and grade		Candidate name		K) Particular requirements*		M) Duplicate	

I confirm that the above candidate are entered in line with City & Guilds regulations

Your signature: [Signature] Page 1 of 1 Date 18 08 08

If you have any questions about how to fill in this form, please phone Customer Support on +44 (0)20 7294 2787.

R) Counter signature
O) Date

Candidate details
Space is provided to enter the details for up to 10 candidates.

*Refer to separate code listings at www.cityandguilds.com/centreadmin under 'form guidance'

7-20 Examination stationery and entry forms

Version 3 Created: June 09 Owner: International Quality and Excellence

Please ensure that all of the information on this form is correct before you submit it to City & Guilds.

Step 1

Enter your centre's details (field A) including centre number, sub centre code, centre name, contact telephone number and contact person. The contact details will be used if there is any problems in processing the form.

Centre details (field A):

Centre number:

Sub centre code:

Centre name:

Contact telephone:

Contact person:

Centre address:

Step 4

Enter the candidate's enrolment number (field F), enrolment numbers are compiled of three letters and four digits as shown in the sample below.

Enrolment number (field F):

Enrolment number of candidate:

If your candidate does not have an enrolment number 'ENR', you must enter the candidate's full name (field G).

Candidate name (field G):

The candidate name is not necessary if enrolment number given:

Step 7

If you are entering the same units and grades on the form you can select the 'duplicate' box. Our system will then duplicate the units and grades as entered for the candidate above.

Duplicate (field M):

Enter the three digit unit number. If you are making a result submission enter the single letter grade after the unit number.

Unit and grade (field N):

Step 2

Enter the qualification number and title (field B). The qualification number is a six digit numerical value.

Qualification details (field B):

Qualification number:

Qualification title:

Enter a syllabus code. This applies to dated entry for some centre-devised syllabuses only. Individual centres will have been told about the centre-devised syllabus and the title and code letters which apply.

Syllabus code (field C):

Step 3

Enter your own purchase order number or reference (field D), this will appear on invoices, online reports and printed examination stationery.

Centre reference (field D):

Select the transaction type (field E) that you want to make by ticking one of the options.

Transaction type (field E):

Registration Renewal Re-entry - Renewal of registration

Enrolment - Renewal of enrolment

Note: If you select dated entry you must enter a month. If you select blocked registration you must enter the number of registrations required. Failure to comply with these requirements will cause delay in processing your form.

Step 6

Enter a particular requirement code (field K) where these apply, eg where a manuisis has been used.

Particular requirement (field K):

Requirement:

Please note that ethnic code (field J) and funding code (field L) are no longer used by City & Guilds. This section of the form can therefore be ignored.

Step 9

Enter the date that the form has been completed.

Date (field Q):

If you require a counter signature to authorise the transaction, please enter the name in the box provided (field R).

Counter signature (field R):

Counter signature (if needed):

Step 8

Enter your name in the signature box (field O).

Signature (field O):

Enter the page numbers at the bottom of the form (field P), this is important as we use these to ensure that all of the forms are processed.

Page details (field P): Page of

9 Electronic form BB

Electronic BB forms are used for on demand examination entries. Only the number of candidates due to sit the examination is required, not individual candidate details. For more details on the Walled Garden go to www.cityandguilds.com/centreadmin and select 'data services'.

Form BB Version 1.1
Block booking entry form

Please return completed forms to:
* Compulsory Fields
For UK and Head Office administered centres, Email: bbforms@cityandguilds.com
For International branch administered centres, please return to your local branch email address, (see list below)

Centre/sub centre (SC)

Number*	SC	Name (BLOCK CAPITALS)
019999		OGLI TEST CENTRE

Centre address

1 GILTSPUR STREET, LONDON, EC1A 9DD

Telephone number	Fax number	Email address
020 7294 2800	020 7294 3384	centresupport@cityandguilds.com

Qualification no.*	Assessment no.*	Qualification title (previously known as Award title and level)	Amount Due
8953	11 011	Level 1 Certificate in Book-keeping and Accounts	
		Number of candidates* 1	Date of exam* 1 Dec 2008 Time of exam 09:00

Qualification no.*	Assessment no.*	Qualification title (previously known as Award title and level)	Amount Due
		Number of candidates*	Date of exam* Time of exam

Qualification no.*	Assessment no.*	Qualification title (previously known as Award title and level)	Amount Due
		Number of candidates*	Date of exam* Time of exam

Qualification no.*	Assessment no.*	Qualification title (previously known as Award title and level)	Amount Due
		Number of candidates*	Date of exam* Time of exam

Name (BLOCK CAPITALS): Mr M. Anagar
Date: 19-Aug-08
Page 1 of 1

Amount Payable 0.00

A) Centre number/name
Full six digit centre number (including sub centre if applicable) and full centre name.

B) Centre address
Your full postal address

C) Contact details
This information is used to contact you if there is a problem with the form

D) Qualification number

E) Assessment number

F) Qualification title

G) Number of entries

H) Exam date and time

I) Amount due

J) Name and date
Enter your name, date the form and put in the page numbers.

Please ensure that all of the information on this form is correct before you submit it to City & Guilds.

Step 1

Enter your six digit numeric centre number (field A) and if applicable your Sub centre code. **This is a mandatory field** as indicated by the red asterisk '*'.

Centre number:

Number*	SC
019999	

Enter your centre name in BLOCK CAPITALS

Centre name:

Name (BLOCK CAPITALS)
CGLI TEST CENTRE

Step 2

Enter your centre's postal address (field B).

Centre address:

Centre address
1 GILTSPUR STREET, LONDON, EC1A 9DD

Enter your centre's telephone number (field C).

Telephone number.

Telephone number
020 7294 2800

Step 3

Enter your centre's fax number (field C).

Fax number:

Fax number
020 7294 3384

Enter your centre's e-mail address (field C).

E-mail address:

E-mail address
centresupport@cityandguilds.com

Step 4

Enter the six digit qualification number (field D). **This is a mandatory field** as indicated by the red asterisk '*'.

Qualifications number:

Qualification no.*
8953 11

Enter the three digit assessment number (field E). **This is a mandatory field** as indicated by the red asterisk '*'.

Assessment number:

Assessment no.*
011

Step 5

Enter the qualification title in full including the level (field F).

Qualification title:

Qualification title (previously known as Award title and level)
Level 1 Certificate in Book-keeping and Accounts

Enter the number of candidates that you are entering (field G). **This is a mandatory field** as indicated by the red asterisk '*'.

Number of entries.

Number of candidates*	1
-----------------------	---

Step 6

Enter the exam date and time (field H). **This is a mandatory field** as indicated by the red asterisk '*'.

Exam date and time:

Date of exam*	1	Dec	2008
Time of exam	09:00		

UK centres – Please ensure that you have allowed a minimum of 14 calendar days between the current date and your requested exam date.

International centres – lead times vary for different international regions, please contact your local City & Guilds branch office for more information.

Step 7

If you are sending payment with the booking form please indicate the amount payable for each examination you are entering (field I).

Amount due:

Amount Due

UK centres – Please ensure that all payments to London head office are made in pounds (£) Sterling, no other currencies are currently accepted.

International centres – If you make entries direct to London head office please ensure that these are made in pounds (£) Sterling. If you make entries via a local branch please contact your local branch to discuss payment requirements.

Step 8

Enter your name, date and enter the page numbers (field J). **This is a mandatory field** as indicated by the red asterisk '*'.

Name and date:

Name (BLOCK CAPITALS)	Mr M. Anagar
Date	19-Aug-08
Page	1 of 1

10 'Other details' code listing and definitions

For a small number of qualifications and assessments additional candidate information is required – full details can be found in the handbooks available for each qualification. Please record this information in the 'other details' section of the Invigilation Certificate.

Note: For qualifications where no mandatory additional information is required centres may use the other details section to include their own candidate number.

Recognised codes are detailed in the table below:

Category code	Description
CN	Candidate number (centre's own)
DR	Driving Licence number
NI	National Insurance number
SC	Sort Code
SQ	Scottish Candidate number

8 Regulations for the conduct of examinations



www.cityandguilds.com
June 2009
Version 1.1

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.

City & Guilds Group

The City & Guilds Group includes City & Guilds, ILM (the Institute of Leadership & Management) which provides management qualifications, learning materials and membership services, NPTC which offers land-based qualifications and membership services, and HAB (the Hospitality Awarding Body). City & Guilds also manages the Engineering Council Examinations on behalf of the Engineering Council.

Equal opportunities

City & Guilds fully supports the principle of equal opportunities and we are committed to satisfying this principle in all our activities and published material. A copy of our equal opportunities policy statement *Access to assessment and qualifications* is available on the City & Guilds website.

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Regulations for the conduct of examinations



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General regulations

The centre co-ordinator or local examinations secretary referred to in this document is the person nominated by the Head of Centre to take responsibility for the arrangement of examinations, tests and other assessments which require all or any of the following:

- security of question paper/test documentation
- examination/test conditions, including on-line and computer-based assessments, which ensure that the work submitted is that of the candidate alone using only the items/materials specified.

Any member of staff at a centre or registered invigilator who wishes to sit an examination should contact the Assessment Programme Manager email: **POLICY@cityandguilds.com**, before making an entry for the examination to request permission. Provided that suitable arrangements for the security of the examination papers, invigilation of the examination and preparation of any specialist work or materials can be made, permission will be given. Failure to inform City & Guilds in writing and obtain permission may result in disqualification or make the examination void.

Nothing in City & Guilds regulations, or in the particular instructions which City & Guilds may issue, shall in any way affect the responsibility of the centre for health, safety and safe working under current legislation and local government by-laws. Any particular local requirements must be followed by the centre.

All premises used for examination, or for the storage of examination material, must be open to inspection, without notice, by City & Guilds or to any relevant statutory and/or regulatory body under which the examinations may be recognised. Authorised inspectors/auditors will present themselves to the centre co-ordinator/local examinations secretary and will identify themselves with an appropriate letter of authorisation/identity card.

The regulations in this document specify the normal operational requirements for assessment. Certain qualifications may have particular variations produced by the needs of the subject or mode of assessment. In these cases subject regulations set out in the syllabus will apply.

All City & Guilds question papers, on-line assessments and computer-based assessments forms carry copyright. They must not be retained or copied in any form in whole or in part unless otherwise specified in subject-specific documentation.

All candidate scripts or practical work carried out under examination conditions are the property of City & Guilds and are not returned to centres unless otherwise indicated in subject-specific documentation. Examples of work will be retained for future use in standardisation exercises. Candidate work, appropriately edited to ensure anonymity, may be used as exemplars in training and guidance documents.

City & Guilds welcomes comments on its examination papers. For on-demand, single subject examinations, these should be attached to the Attestation Form so that they can be considered where appropriate during the marking process.

For all other examinations, comments should be addressed to the Assessment Programme Manager email: **POLICY@cityandguilds.com**. If comments are received within one week of the examination having taken place, they can be considered where appropriate during the marking process.

City & Guilds supplies question papers and other assessment materials in English and will mark responses in English unless another language is specified by the regulations.

City & Guilds examination papers will, where appropriate, use decimal currencies including £ and \$, metric units, the 24 hour clock, global contexts and scenarios including names and addresses.

As part of City & Guilds quality assurance, in those subjects where the timed element is an integral part of what is tested, candidates may be required to validate their speed in the presence of a representative of City & Guilds. Similarly candidates may be asked to validate their performance in other examinations in the presence of a representative of City & Guilds.

City & Guilds audit/inspection service ordinarily visits centres when examinations are being held, although a visit to check the centre's secure storage (as defined in 1.2) may be made at any time. Centres must co-operate with any visit from an auditor/inspector, including giving access to secure storage.

Preparing for the examination

1 Keeping question papers and other examination material secure

1.1 Checking question papers

- On receipt check the question paper packets and examination material carefully. Notify City & Guilds immediately if there are any problems, e.g.
 - it appears that the parcel or one of the packets has been opened during transit and therefore there may have been a breach of security
 - there are any differences between the material received and the despatch/delivery note
 - the material has been significantly damaged in transit
 - the material appears not to meet your requirements.
- All materials should be checked immediately they are received and must be put into secure storage. Check the question paper packets against the timetable and arrange them in timetable order to reduce the possibility of opening a packet at the wrong time.
- If question papers cannot be checked immediately they are received, they must be locked away in secure storage until an authorised member of staff is available to make the necessary checks (it is for the centre to set out the appropriate terms of authorisation for members of staff).

1.2 Keep all question papers in a place of security and available only to authorised persons. This will require a safe or a non-portable, lockable, metal cabinet within a room, which is also secure from non-authorised entry, with restricted access and locked when not attended by authorised persons. The centre must be able to satisfy a representative of City & Guilds of the security of the arrangements.

1.3 City & Guilds must be informed if the security of the question papers is put at risk by theft, loss, damage, unauthorised disclosure, fire, or any other circumstance.

1.4 Question papers must remain in the secure storage facilities approved by City & Guilds until the day of the examination. You must not open the packets of question papers and other examination materials until the time appointed for the examination concerned, unless City & Guilds advises otherwise. For scheduled examinations, question papers are supplied in packs of five. If you have candidates at multiple sites and this arrangement causes difficulties, packs should not be opened and split. Extra packs may be requested from the Supply Management department well in advance of the closing date for entries for the examination.

1.5 On occasions when centres may open confidential material (such as instructions for practical examinations) before the examination, they must take strict precautions to keep it secure after it has been opened. Centres **must not** remove the material from the centre and, when it is not being used, must keep it in secure storage. Centres **must** make sure that a system for recording when material is taken from or returned to the secure storage is used throughout the time the material is confidential (see Sections 2, 8-11, 13 and 17 regarding when materials are confidential).

- 1.6 If confidential material is recorded on tapes or other media, you **must** make arrangements before the examination for that material to be tested if City & Guilds requires it. If any of the material is faulty, City & Guilds **must** be informed immediately.
- 1.7 Ensure that appropriate software, computers, word processors, printers, typewriters, tapes and tape recorders and/or other equipment as appropriate are provided for examinations. Spare equipment should be available whenever possible.
- 1.8 Centres must have appropriate security systems and procedures in place to prevent candidates using computers in examinations having unauthorised external communications with other users of computers.
- 1.9 Inform all candidates of the date, time and place of the examination and the conditions under which it will be held.

Preparing for the examination

2 Timetable variations

- 2.1 Every effort should be made to start the examination at the specified time. The starting time may be varied, if there are local problems, by up to thirty minutes without informing City & Guilds. However, if this is done, to avoid any possible breach of security, late arriving candidates or early departing candidates must be regulated as if the specified starting time had been in place.
- 2.2 On-line examinations may be taken within a time period set within the system for each candidate. Each candidate must be informed of the date, time and place of his/her test.

Preparing for the examination

3 Using calculators

- 3.1 For question papers where the use of calculators is allowed, candidates are responsible for making sure that their calculators meet City & Guilds regulations.

Candidates should be told these regulations beforehand.

Calculators must be:

- of a size suitable for use on the desk
- either battery or solar powered.

Calculators must not:

- be designed or adapted to offer any of these facilities:
 - language translators
 - symbolic algebra manipulation
 - symbolic differentiation or integration
 - communication with other machines or internet (this includes mobile phones)

The candidate is responsible for the following:

- the calculator's power supply
- the calculator's working condition.

Candidates may:

- use calculators with graphic displays and programmable calculators if these calculators meet the restrictions shown above, unless the calculators are prohibited in the subject specification.

Candidates must not bring the following into an examination:

- calculator cases
- instruction leaflets
- instructions and formulae printed on calculator lids or covers
- similar materials.

Preparing for the examination

4 Resources for examinations

- 4.1 Printed English language dictionaries and bilingual dictionaries are allowed only for some examinations. For more detailed guidance, please always refer to the subject-specific documentation. Electronic dictionaries are **not** allowed in any examinations.
- 4.2 Ensure that stationery and any items specified in the syllabus, such as reference materials and case studies, are available to candidates, or that candidates have been informed what they will need to bring with them. If candidates have any unauthorised material in an examination (whether or not they intend to use it), this may constitute malpractice. In such circumstances, you should refer to the City & Guilds **Managing cases of suspected malpractice by centres and candidates**.
- 4.3 Candidates may **not** refer to books or notes during the examinations except where the subject-specific documentation specifically allows it.
- 4.4 Candidates may **not** bring scrap paper into the examination room.
- 4.5 Where centres are undertaking electronic tests, centres must ensure that sufficient work stations are available, including at least one replacement computer (and printers where required). The equipment must be fit for purpose and must be checked by a competent person before use.
- 4.6 There should be appropriate policies in place to protect the security of the hardware and software which is used to deliver electronic tests, hold candidate assessment outcomes and the network in which it operates. The centre's management of the secure test environment in which on-line tests operate must be robust.

Preparing for the examination

5 Accommodation

- 5.1 All candidates must sit for the examination at the centre unless City & Guilds has given permission beforehand for candidates to take the examination elsewhere. As long as all requirements for accommodation are met, centres may arrange to use other local accommodation off-site for any examination. City & Guilds still treats that accommodation as being 'at the centre' for the purposes of the examination.
- 5.2 In these circumstances, centres must inform City & Guilds head office or regional office at least six weeks before the examination of the address of the other accommodation, the dates it is to be used and the maximum number of candidates likely to be involved. If, owing to unforeseen circumstances, centres cannot meet the six-week deadline, they should give City & Guilds the necessary information as soon as it becomes available.
- 5.3 Special arrangements for examination venues, including work-based venues, apply to a few qualifications offered in association with other organisations. These are set out in the subject specific documentation.
- 5.4 The examination room must be in a suitably quiet location, which will remain undisturbed for the whole examination, and have adequate space, heating, lighting and ventilation.
- 5.5 Practical examinations must be held under conditions that will give all candidates the chance to carry out their tasks and to display their true levels of attainment in the subjects concerned.
- 5.6 All posters, display material etc which may be relevant to the examination should be removed or completely covered.
- 5.7 A reliable clock must be visible to every candidate in the examination room. The clock must be big enough for all candidates to read clearly. In the case of on-line examinations a clock is also available on the test system.
- 5.8 The invigilator should make sure that the following information is clearly visible to all candidates:
- date
 - start and finish time
 - full title of the centre
 - centre number
 - other relevant details (eg question paper number, examination title, etc).

- 5.9 Seating arrangements must be made which will prevent candidates from seeing each other's work, intentionally or otherwise. It is recommended that:
- the minimum distance in all directions from centre to centre of candidates' chairs is 1.25 metres
 - all candidates should face in the same direction, unless they are working at drawing boards, easels or computer workstations for on-line tests. In such cases the arrangement should be in an inward facing pattern or in another suitable pattern to ensure that the minimum distance requirement is satisfied
 - each candidate should be seated at a separate desk, table or workstation. For on-line tests, each workstation must be isolated by a minimum space of 1.25 metres measured from the nearest outer edge of one screen to the next.
 - any specialist tutor preparation for IT related examinations should be provided to candidates as individual files for their exclusive use.
- 5.10 It is the responsibility of the centre to decide whether to allow candidates suffering from an infectious or contagious disease to sit an examination. Any candidate suffering from an infectious or contagious disease must take the examination in a separate room in which all instructions for conducting examinations can be applied. Centres must keep the candidate's script separate from other scripts from the same centre. You must **not** despatch anything to an examiner or to City & Guilds until you have asked for advice from City & Guilds.
- 5.11 More than one examination may be held in the same room as long as this does not cause disturbance to any candidate.
- 5.12 A notice, 'Quiet, examination in progress' (provided by the centre) must be displayed outside the examination room.
- 5.13 Where computers are used for assessment purposes the Head of Centre is responsible for ensuring that local health and safety laws are followed.

Preparing for the examination

6 Invigilation arrangements

- 6.1 All City & Guilds examinations must be supervised by an invigilator. It is the responsibility of the centre to appoint invigilators and brief them on the requirements for the conduct of examinations. Invigilators should be suitably qualified and experienced adults whose integrity can be relied upon. They act for the centre, under the guidance of the centre co-ordinator/local examinations secretary, and the centre is responsible for their payment and actions. City & Guilds does not accept responsibility for the payment of fees or expenses to invigilators. Please note that it is not good practice for the tutor of the qualification being examined to be the only invigilator for that examination.
- 6.2 Ensure that invigilators are familiar with the content of this document and that invigilation is operated in accordance with it and any local or national invigilation arrangements. Invigilators must give all their attention to conducting the examination properly; be able to observe each candidate in the examination room at all times and be familiar with the specific instructions relating to the subjects being examined. Invigilators must not carry out any other task (for example marking) in the examination room.
- 6.3 For multiple-choice and written assessments, there must be a minimum of one invigilator in each examination room for every 30 candidates or fewer. For on-line or computer-based assessments, there must be a minimum of one invigilator for every 20 candidates or fewer. However, when there is only one invigilator he/she must be able to summon assistance easily, without leaving the examination room, in case of emergency, eg a sick candidate. The number of invigilators present must never fall below the number specified.
- 6.4 Centres must prepare a seating plan, indicating the direction of each desk and the name of each candidate, and keep signed records of the seating and invigilation arrangements for each examination session for six months after receipt of results. The seating and invigilation records may be required by City & Guilds. Centres should ensure that the Invigilation Certificate Marksheet is completed for all candidates, whether present or absent, and returned with candidates' scripts'.
- 6.5 Where the examination comprises practical tests or the use of equipment such as a computer, then it is essential that a specialist technician must be available to deal with equipment failures. The provision of a specialist technician is in addition to the invigilator. The invigilator must **not** act in this capacity. In the exceptional case of an examination for one candidate, the invigilator may undertake the role of computer specialist.
- 6.6 Separate approval is required to run peripatetic on-line examinations. Special arrangements and requirements apply to the conduct of these examinations. Centres will be advised of these when approval is given.

For candidates with access arrangements

- 6.7 City & Guilds recommends that the examination is held in a separate room when readers, writers or assistants are provided. An invigilator **must** also be present. Readers, writers or assistants may **not** act as invigilators.
- 6.8 The centre is responsible for ensuring that if a candidate and a reader are not accommodated separately that other candidates cannot overhear what the reader is saying and are not disturbed by their presence.
- 6.9 If several candidates require only occasional reading assistance, they may be accommodated as a separate group with a reader and an invigilator.
- 6.10 Centres whose candidates are not permitted a reader may wish to accommodate candidates separately so that they may read aloud to themselves, particularly where this is the normal way of working. Separate invigilation will be required.
- 6.11 The centre is responsible for ensuring that a candidate dictating to a scribe cannot be overheard or distracted by other candidates. Where a centre needs to accommodate candidates separately, a separate invigilator will be required.
- 6.12 Candidates requiring a word processor must be accommodated in such a way that other candidates are not disturbed and cannot read the screen. Where candidates using a word processor are accommodated separately, a separate invigilator will be required.
- 6.13 Where a candidate requires a prompter, the invigilator may act as a prompter. If the prompter is acting as a reader or scribe, different invigilation arrangements must apply.
- 6.14 Candidates requiring the use of a sign interpreter may need to be accommodated in another room in which case a separate invigilator will be required.

For further information on access arrangements please refer to City & Guilds 'Access to assessment and qualifications' document.

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At the beginning of the examination

7 Identifying candidates

- 7.1 It is important that all invigilators are able to establish the identity of all candidates sitting examinations. The head of centre **must** make sure that appropriate arrangements are in place so that all invigilators can carry out adequate checks on the identity of all candidates.
- 7.2 A private, external or transferred candidate who is not known to the school, college authorities or training provider must show documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment eg passport or photographic driving licence.
- 7.3 For on-line examinations it is the responsibility of the centre to have a procedure in place to ensure that both the identity of the candidate is established and that the candidate's name and identity matches the name and identity on the on-line test screen. If candidates sit an examination in another candidate's name (whether or not this is intentional), this may constitute malpractice.

At the beginning of the examination

8 The people present

- 8.1 Only candidates and persons whose presence is required by the examination, and are authorised by the centre co-ordinator/local examinations secretary, should be allowed in the examination room during, immediately before or after the examination.

- 8.2 The centre co-ordinator/local examinations secretary may allow heads of department, teachers and subject tutors to enter the examination room to check that candidates have all the materials they should have and the correct examination paper. If allowed into the exam room to carry out such checks, they should not communicate in any way with the candidates or comment on the examination paper in the presence of the candidates. If there is a query about the examination paper then the centre co-ordinator/local examination secretary should contact City & Guilds immediately.

At the beginning of the examination

9 Question papers, stationery, materials and other equipment

- 9.1 The examination papers must be collected from their secure store on the day of the examination by an invigilator or other responsible person. The sealed envelopes containing the papers should not be opened until immediately before the examination and should be opened in front of the candidates.
- 9.2 In examinations where computers are required or allowed and answers are to be printed out, the invigilator should check that the printouts can be identified on a candidate by candidate basis. One copy **only** should be printed, unless otherwise directed by subject-specific instructions, and the files must be erased from the computer/storage medium immediately.
- 9.3 The invigilator must take all reasonable steps to make sure that the following conditions are met:
- examination stationery, including additional answer sheets, for the particular examination must be issued to candidates
 - candidates may take into the examination room only those instruments or materials which are clearly allowed in the instructions on a question paper, the stationery list or the specification for that subject
 - if unauthorised items have been or are about to be taken into the examination room, they must be placed out of reach of the candidates (and not under their desks) before the examination starts
 - mobile telephones and other means of electronic communication are not allowed in any examination. Candidates should be warned of this rule in advance and reminded at the start of each examination. If mobile telephones have been brought into the room, they should be switched off and placed beyond the reach of candidates
 - in a subject where there is an objective test or a personalised question paper, and individual pre-printed answer sheets are provided for each candidate, each individual answer sheet or personalised question paper must be given to the candidate whose name appears on it. Also, centres should check that the sheets relate to the subject and the component concerned
 - for on-line examinations the test must be unlocked for the correct candidate. The invigilator must check the identity of the candidate and then ensure that the correct ID and password are issued. The invigilator must oversee the input of the id and password for each candidate and check to see that the name on the test screen matches the name of the candidate. If in spite of these checks either the invigilator or candidate becomes aware that the candidate is sitting a test in a different candidate's name then the test should be aborted. City & Guilds should be notified immediately. The test results should still be uploaded
 - for on-line examinations, there should be no
 - access to the internet, e-mail, data stored on the hard drive or portable storage media eg floppy disks, CDs, memory sticks.

NB If a candidate sits an examination in another candidate's name (whether or not this is intentional), this may constitute malpractice.

At the beginning of the examination

10 Starting the examination

- 10.1 The examination papers must be collected from their secure store on the day of the examination by an invigilator or other responsible person. The sealed envelopes containing the papers should not be opened until immediately before the examination and should be opened in front of the candidates.
- 10.2 Candidates must be in the examination room at least ten minutes before the start of the examination to fill in examination documentation. They should not be allowed into the room until the invigilator is satisfied that the room is ready for them and can indicate where each should sit. This is particularly important where a centre is using City & Guilds pre printed stationery containing candidate, centre and component information and where candidates are taking on-line assessments.
- 10.3 Before candidates are allowed to start work in the examination, the invigilator **must always** inform candidates of the rules which apply during the examination (see Appendix 2).
- 10.4 The centre may provide the invigilator with a translation of the rules which apply during the examination into other languages if there is a need for this and if the necessary expertise is available.

During the examination

11 Candidates who arrive late or leave early

11.1 Late entry to/early departure from the examination room

- In examinations which last for two hours or longer, no candidate may enter the examination room one hour after the timetabled start of the examination, and no candidate should leave the examination room during that first hour. This rule must be kept, even if the actual start time differs from the timetabled start.
- In examinations lasting less than two hours, no candidate may enter the examination room after, or leave the examination room before, half the examination time has passed.
- A candidate arriving after the start of the examination may be allowed to take the examination, subject to the agreement of the centre and provided that the given time restrictions would not be breached. They may be allowed the full time for the examination, if this arrangement is practical for the centre.
- Candidates may not be admitted after the start of an examination where listening, dictation or speed tests are involved.
- Candidates who have finished their work and have been allowed to leave the examination room early must hand in their work and the examination paper before they leave the examination room. Those candidates must not be allowed back into the room.
- For on-line examinations which may be taken by a candidate within an agreed time period, centres may allow candidates to enter and leave the room at different times provided the invigilation conditions are maintained and entry and exit can be managed without disturbing other candidates.

11.2 Where the candidate has been allowed into the examination room after the starting time, the examination script should be submitted in the usual manner, but a report giving full circumstances should be sent to the Assessment Programme Manager email: **POLICY@cityandguilds.com** The candidate must complete a Declaration of no prior knowledge form, be informed that the report has been completed and that City & Guilds may not be prepared to accept the paper.

11.3 If a candidate needs to leave the examination room temporarily during the examination because he/she is unwell or needs to go to the toilet, then he/she must be accompanied by an invigilator who must ensure that he/she does not speak to anyone else, consult any notes, make a phone call or otherwise breach the security of the examination while he/she is out of the room. Those candidates may be allowed, at the discretion of the centre, extra time to compensate for their temporary absence.

NB The number of invigilators present in the examination room must not fall below the number specified in 6.3.

11.4 Any disturbance in the conduct of the examination should be notified to the Assessment Programme Manager, in writing email: **POLICY@cityandguilds.com** immediately after the examination and a copy of the letter should be enclosed with the scripts. Unless this is done, no consideration can be given in the marking and grading of the candidates.

During the examination

12 Completing the invigilation documentation

12.1 The invigilator **must**:

- record which candidates are present during the examination, in line with City & Guilds' instructions, clearly indicating those candidates who are absent
- record the names of candidates who are not listed. The exams officer must make formal entries to City & Guilds as soon as possible, if this has not already been done.

During the examination

13 Releasing examination papers

- 13.1 If papers have been re-scheduled with the permission of City & Guilds, the question papers must not be released until after
- the published finishing time for the paper concerned, or
 - the end of the examination session in the centre, whichever is later.
- 13.2 All used and unused multiple-choice questions papers must be returned to City & Guilds after the examination. Centres must not make any copies either in writing, by photocopy, electronic or other means.
- 13.3 No-one may remove any question paper from the examination room until the end of the examination session in the centre.

During the examination

14 Misconduct and irregularities

- 14.1 In cases of misconduct and irregularity, the invigilator/centre co-ordinator/ local examinations secretary is empowered to expel a candidate from the examination room, when their continuing presence would hinder other candidates.
- For scheduled examinations, the expelled candidate's question paper and script should be secured and submitted to the Assessment Programme Manager, email: **POLICY@cityandguilds.com** with a report signed by the invigilator(s).
 - For on-demand, single subject examinations, the expelled candidate's question paper and script should be secured, a report of the incident written, and both should be submitted as usual with the batch of scripts and the Attestation Form.
 - For GOLLA examinations, the expelled candidate's examination should be ended and a report of the incident written. The report should include the candidate's test details, ie test number, date. Time, qualification code. The report should be signed and sent to the Assessment Programme Manager, email: **POLICY@cityandguilds.com**
- 14.2 Any misconduct or irregularity must be reported in writing to the Assessment Programme Manager, email: **POLICY@cityandguilds.com**. A decision will be taken as to whether to disqualify candidates for this, and any other City & Guilds examination they may have taken. City & Guilds has the final decision to disqualify, or not, a candidate.
- 14.3 If any of the regulations for the conduct of examinations is broken by a candidate, invigilator or other person required for the conduct of the examination, City & Guilds may declare the examination or assessment void.

During the examination

15 Emergencies

15.1 If an emergency occurs during the examination, eg fire alarm, bomb warning

- the examination room must be evacuated in accordance with the instructions of the appropriate authority
- candidates must leave question papers and examination scripts on their desks
- depending on the circumstances that follow, one of the actions given in 15.2 may be taken. Whichever action is taken, the Assessment Programme Manager of Co-ordinated Services at City & Guilds must be informed in writing as soon as possible. Any decision on assessment of partially completed work will be made by City & Guilds.
- if an on-line test has to be restarted after a power failure/fire alarm or any other disruption, the restart window is 60 minutes. Provided the candidates are closely supervised and the invigilator is sure that there has been no breach of security the examination may be re-started. The Assessment Programme Manager, email: **POLICY@cityandguilds.com** must be informed, in writing as soon as possible.
- If an on-line test cannot be re-started because of the elapsed time or because candidates were not invigilated then the test should be abandoned. New tests may be scheduled for the candidates.
- If a workstation fails due to hardware problems during the test the invigilator should move the candidate to a spare one and enter their ID and password so they can continue the test.

For on-line tests, centres should refer to any software specific instructions to safeguard the security of assessment content and responses.

15.2 If the candidates have been closely supervised and the invigilator can be assured that there has been no breach of examination security, ie candidates did not communicate with each other, nor any other person, nor consult any books or notes while they were out of the examination room, then the examination may be resumed and the full time may be given.

15.3 If the security of the examination has been compromised or timing of the examination is integral to the assessment, then please contact City & Guilds for guidance. If the examination has been taking place for more than one half of the published time, then the candidates' scripts may be sent to City & Guilds for performance to be assessed and consideration made for grades to be awarded on the work completed in the time available.

15.4 If it is completely impossible to continue the examination, yet less than one half of the given time had elapsed while the candidates were in the examination room, then City & Guilds will consider the possibility of grading the candidates. This may be carried out using the part completed examination scripts and written reports from the centre, based on assessed course work.

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At the end of the examination

16 Finishing the examination

- 16.1 Before the end of the examination the invigilator should alert the candidates to the time remaining. It is suggested that this warning should be given between 15 and five minutes before the end. A five minute warning is given on screen for on-line examinations.
- 16.2 When the allotted time has ended, the invigilator must tell the candidates to stop writing or working, collect the papers and make sure that the relevant paperwork has been completed (see section 12 and Appendix 3).
- Before candidates leave the room, the invigilator should check that all candidate work is clearly identified, any extra sheets used are securely attached to the answer book with string or a treasury tag. For examinations where single sheet stationery is used, each candidate's worked papers should be arranged in numerical order of questions and firmly stapled at the top left-hand corner. Multiple-choice answer sheets should not be stapled or tagged.
 - In the case of on-line assessment or a computer marked assessment, the invigilator should check that the test has closed correctly and ensure that the responses are submitted in accordance with the system regulations. City & Guilds may not be able to issue results if the on-line test files have not been submitted correctly. The centre must ensure that on-line test results are uploaded immediately and are advised to retain a provisional score report.
 - Preparatory examination material recorded on tape or disk must be erased immediately after the examination, with the exception of printouts of specialist tutor's work, where applicable. One copy of the specialist tutor's work per batch must be returned with the worked scripts.
- 16.3 For on-line tests
- centres must that all candidates' work is saved and secure from unauthorised access
 - all other examination material, including copies of candidates' work, additional printouts and question papers must be collected by the invigilator and stored in a secure place
 - any common user areas accessible to candidates must be cleared of all work saved during the examination immediately after each session
 - candidates' user areas should be removed at the end of the examination window or after each session if feasible. Whichever strategy is adopted, centres must ensure that the user areas of those candidates who have already sat the examination cannot be accessed by candidates who are scheduled to sit the examination in a later session within the window. Particular care should be taken where networked stations are used to prevent work being accessible via shared folders. Different passwords must be set up for each session, if more than one session is required. It is not sufficient to rely on candidates keeping their password secret.
 - Invigilators should be aware that work may need to be printed off outside the time allowed for the test. Candidates must not be prevented from doing so, though must be supervised at all times.

At the end of the examination

17 Collecting scripts

- 17.1 The invigilator must collect all used and unused examination question papers and scripts before candidates leave the room to ensure that no candidate accidentally takes their script or other examination material with them.

- 17.2 Scrap paper used by candidates during on-line examinations should be collected and destroyed.

After the examination

18 Sending scripts

- 18.1 Under no circumstances may examination papers be retained or photocopied by centres or candidates unless otherwise specified.
- 18.2 Scripts and completed Invigilation Certificate Marksheets should be despatched to the specified address on the day of the examination. If it is not possible to despatch straight away, then they must be kept locked up under the same conditions as unused examination papers. They must then be despatched within one working day of the examination.
- 18.3 Centres should use the fastest possible postal service to return scripts and air mail should be used for non-UK centres.
- 18.4 Every care is taken to ensure safe custody of all examination material, but City & Guilds will not hold itself responsible for any loss or damage during transit.

After the examination

19 Unused stationery

- 19.1 All used and unused multiple-choice question paper booklets and pre-printed multiple-choice answer sheets must be returned to City & Guilds after the examination. Centres must not make any copies, either written photocopied, electronic or other.

After the examination

20 Applications for special consideration

- 20.1 Any correspondence on the conduct of the examination, particularly on adverse circumstances which may deserve special consideration, should be sent immediately under separate cover to the Assessment Programme Manager, email: **POLICY@cityandguilds.com** not to the examiner.

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Appendix 1 Checklist for invigilators

This checklist summarises the most essential actions for invigilating examinations. You must also fully understand the *Regulation for the conduct of examinations*.

A Arranging the examination room

- 1 Check that any charts, diagrams, etc have been cleared from the walls.
- 2 Check that you have the following on display:
 - a clock that all candidates can see clearly
 - a board showing the centre number, and the starting time and finishing time of the examination(s).
- 3 Check that you have:
 - a copy of the current *Regulations for the conduct of examinations*
 - any subject-specific instructions
 - a seating plan of the examination.

B Identifying candidates

- 1 Make sure you know the identity of every candidate in the examination room.
- 2 Check the documentary evidence that any candidates not known to you provide, to show that they are the same people who were entered for the examination.

C Before the examination

- 1 Check the front of the question paper for the exact requirements for authorised materials, particularly dictionaries and calculators (see F).
- 2 Tell candidates that they must now follow the regulations of the examination and draw attention to them. A suggested wording is provided at Appendix 2.
- 3 Warn candidates that they must give you any unauthorised materials, including mobile phones.
- 4 Open the packet(s) of question papers in the examination room.
- 5 Tell the candidates:
 - to fill in the details on the front of the answer booklet or answer sheets and any supplementary sheets
 - to read the instructions on the front of the question paper.
- 6 Tell the candidates about any erratum notices.
- 7 Remind candidates to write in blue or black ink or ballpoint pen.
- 8 Tell candidates when they may begin and how much time they have.

D During the examination

- 1 Complete the examination documentation with attendance details.
- 2 See section 4.1 of the Regulations if a candidate arrives late.

- 3 Be vigilant. Supervise the candidates at all times to prevent cheating and distractions.
- 4 Do not give any information to candidates about:
 - suspected mistakes in the question paper, unless an erratum notice has been issued
 - any question on the paper or the requirements for answering particular questions.
- 5 Make sure that no candidate leaves the examination room until the time specified in paragraph 11 after the published starting time.
- 6 Make sure that no question paper is removed from the examination room during the examination.
- 7 Make sure that a member of staff is available to accompany any candidates who need to leave the room temporarily.
- 8 In an emergency, see Section 4.5 of these regulations and any separate instructions issued by your centre.
- 9 Tell candidates to stop writing/working at the end of the examination.

E After the examination

- 1 Check and sign the examination attendance documentation.
- 2 Tell candidates to check that they have:
 - written all the necessary information on their scripts including supplementary sheets
 - crossed out rough work or unwanted answers
 - fastened any supplementary sheets, as instructed on the question paper or answer book.
- 3 Collect all scripts and all unused stationery before candidates leave the examination room.
- 4 Arrange scripts in the order candidates appear on the examination documentation.
- 5 Make sure that scripts are kept in a secure place before being sent to City & Guilds.

F Use of Calculators and Dictionaries

- 1 Candidates are allowed to use calculators, unless the specification for the subject says otherwise.
- 2 Candidates are not allowed to use dictionaries in any examinations, unless the specification says otherwise.
- 3 Candidates may use bilingual dictionaries under certain access arrangements.

G Access Arrangements

Check in advance with the exams officer which candidates, if any, are allowed access arrangements.

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Appendix 2 A suggested wording for the invigilators' announcement at the beginning of an examination

- “You must now follow the regulations of the examination.
- **Only** material listed on the question paper is allowed in the examination room. **You must not have on, or near you, any other material.**
- If you are found to have any material with you which is not allowed, **even if you did not intend to use it**, this will be reported to City & Guilds. The normal practice in these circumstances is to disqualify the candidate from the paper or the subject.
- Check now that you do not have on you any unauthorised material such as notes, books, papers, calculator case or lid, calculator instruction leaflets, electronic devices or **mobile phones**.
- (For examinations with books that are allowed, add “Check that no notes or papers have accidentally been left inside any book you are allowed to have in the examination room.”)
- Hand in now to an invigilator any of these items. **Any mobile ‘phones must be turned off** as a ringing ‘phone could make you subject to sanctions and penalties.
- Check that you have the right question paper for your subject and level.
- Check that you have everything you need to do the examination, including all the items listed on the question paper.
- You must write only in **blue or black ink or ballpoint pen**, except for drawings and rough notes.
- You must write all rough work in your answer book and neatly cross it through with a single line. You should cross any mistakes through neatly with a single line.
- (For computer-marked multiple-choice papers, add “You should write rough work on the question paper.”)
- You may not communicate in any way with another candidate. You may not give help to any candidate or ask for help from another candidate. You should put up your hand to attract the invigilator’s attention.
- Now, fill in all the details needed on the front of your answer book, answer paper or question paper.
- **The examination will finish at**
- You may start now.”

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Appendix 3 Examination administrative documentation

On-demand, single subject examinations

A Candidate Result Entry Form must be completed by the invigilator in English, listing candidate names in the same order candidates are sitting:

- the candidate's names must appear in block capital letters in the way in which they should appear on any certificate awarded
- details of the candidate's date of birth and gender
- if additional time or other alternative examination arrangements have been awarded to a candidate, these must be indicated on the Candidate Result Entry Form
- on completion of the examination the invigilator should retain the bottom copy of the Candidate Result Entry Form. The top three copies should be returned to City & Guilds with the Attestation Form.

An Attestation Form must be completed by the invigilator showing the correct start and end times for the examinations. Preparation and printing time must not be included in the times entered on the Attestation Form. Preparation includes candidate reading time specified in subject specific instructions. The invigilator must sign the completed Attestation Form. The invigilator must ensure that any specialist tutor or reader who was present during the examination also signs the Attestation Form.

Scheduled and on-demand, single subject examinations

Scripts should be batched in the same order as candidates were sitting and as shown on the ICM/Candidate Result Entry Form. They should be handed by the invigilator to the local examinations secretary who should sign each Candidate Result Entry Form. At no time should scripts be left in an unsecured place.

The invigilator must complete the ICM/Attestation Form and should attach the top three copies of the Candidate Result Entry Form to the back of the Attestation Form.

Scripts should be despatched to the specified address on the day of the examination. If it is not possible to despatch straight away, then they must be kept locked up under the same conditions as unused examination papers. They must then be despatched within one working day of the examination.

For on-line examinations the results should be uploaded as soon as the testing session has been completed. Official results will be based on uploaded tests and not on locally printed score reports. All queries for results confirmation (passes only) are to be made within 10 working days of the test being taken; it is the responsibility of the centre to upload test results on completion of the test and failure to do this may render the test void.

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9 Assessment of practical competences

In this section of our *Centre guide* we do not set out to provide in depth guidance on evidence collection and assessment of practical competences, but we do want to draw your attention to some important aspects of the process particularly if you are new to assessing, for example, our International Vocational Qualifications (IVQs). For detailed guidance on the assessment of IVQs, you should refer to the following City & Guilds documents:

- The handbook for specific guidance on assessing the particular IVQ you wish to offer. The standards to be achieved in each unit are set out in detail.
- *Guide to the assessment of practical skills in International Vocational Qualifications*. This looks in detail at
 - different ways of collecting evidence of practical skills
 - developing assessment plans
 - conducting assessments
 - providing feedback to candidates.
- *Preparing projects and portfolios for International Vocational Qualifications*. Certain IVQs require candidates to complete projects or portfolios. This guide should be used by tutors/assessors in conjunction with the appropriate syllabus documentation as it will provide useful additional guidance on the completion of projects and portfolios of evidence. Students will also find it useful.
- *The international assessor award*. While this is a qualification designed for teachers and trainers who wish to gain a formal qualification in assessment, the syllabus provides essential guidance for all those who wish to improve their knowledge and skills in assessment. We would, however, encourage all those involved with the assessment of our IVQs to gain this specialist certificate.

9.1 Methods of assessing IVQs

All IVQs are designed in the same way. They comprise:

- practical competences – what a candidate must be able to do
- knowledge requirements – what a candidate must know.

There are several ways in which these can be assessed:

Practical competences

Assessors may be required to use different methods depending on the particular IVQ. There are three options for the assessment of practical skills.

- **Competence checklist – observation of performance**

This is a list of activities that a candidate must be able to do in order to demonstrate a particular competence. For each statement the assessor will be asked to say either ‘Yes, the candidate successfully carried out this activity’ or ‘No, the candidate has not yet achieved this standard.’

- **Competence checklist – appraisal of a product**

In some instances a candidate may be asked to produce something, for example a report, a design, an object. The assessor would then use a checklist to ensure that the product met all the specified requirements.

- **Practical assignments**

These are set by us and included in an IVQ syllabus as tasks for candidates to complete. Candidates may be required to

- produce a product, eg a report, a design, an object
- carry out a task
- carry out a task and produce a product.

Knowledge requirements

Candidates will be required to take tests to show that they meet the knowledge requirements. These are provided by City & Guilds and can take the form of:

- **Written tests – multiple choice**

These are used to assess underpinning knowledge at the first or certificate level and sometimes at diploma level.

- **Written tests – short, structured questions**

These are used where there is no definitive answer or a more detailed answer is required. This type of question is always used at advanced diploma level and sometimes at diploma level.

- **Computer-based test**

Some IVQs use a computer-based test. The candidate answers questions, usually multiple choice questions, that appear on the screen by clicking on the right answer.

All written assessments for IVQs are in English, with the exception of those for mainland China where they are in Chinese. We review test materials to ensure that the language used in questions is not a test of the candidate's ability to use English rather than their subject knowledge. Written papers are marked for correct facts, based on the relevant marking scheme, and not for the use of English.

Centre devised and assessed written knowledge tests will be moderated by the external verifier.

The focus of the following guidance notes is on the planning and assessment of practical skills.

9.2 Action planning

Action planning is about helping candidates to

- understand what they are being asked to do, show, know, produce and to what standards and under what conditions
- organise how they will work towards an award
- identify what they already do or have done, matching against the skills and knowledge requirements they meet through current work activities and through prior achievement
- plan further activities to meet the outstanding requirements.

A personal action plan can then be drawn up to indicate the sources from which evidence can be gathered, the competences or knowledge requirements which require training or experience and the opportunities/dates to action these activities. Examples of action planning sheets are included at the end of this section.

In developing action plans for the collection of evidence of competence, candidates should be advised to consider one of the following methods:

- reviewing and listing all the areas of work undertaken by them and matching these to the units to be addressed – evidence driven
- noting against each unit the way in which competence may be proved – standards driven.

The prime responsibility for the assessment planning lies with the assessor. The two processes are closely linked but the assessor should take a lead role in the planning process in such a way that the candidate is not overwhelmed and demotivated by the whole exercise and feels sufficiently involved in the ownership of the qualification.

9.3 Collection of evidence

As we have seen, practical competences may be assessed by observation of performance or appraisal of a product. This may be obtained from workplace activities or from simulation.

Real work or realistic working environment

The preferred source of evidence for IVQs is by collection of naturally occurring evidence in the workplace.

- **Real work**

This is where the product or service provided involves a third party other than the candidate. It need not imply paid employment as it may be a work placement for the candidate, however assessment must reflect business practice, pressures and consequences and the work being assessed must be real to the candidate. (See *Guide to the Assessment of Practical Skills in IVQs.*)

- **Realistic working environments**

This is likely to be used by specialist training organisations, for example a hotel and catering department or motor vehicle maintenance and repair department in a college. The centre will have special facilities that resemble as close as possible the real work environment. This would mean that a candidate transferring from one defined as a realistic work environment to a real workplace would perceive no difference. (See *Guide to the Assessment of Practical Skills in IVQs*.)

Realistic work environments should also have psychological attributes which are comparable to those of real work eg procedures, pressures and consequences of producing products for customers. For example a hotel and catering department of a college may have a restaurant open to the public at certain times.

Simulated work experience

Any source of performance evidence other than the candidate's normal naturally occurring work activities, either in the work place or in a realistic work environment, is considered to be 'simulation'. (See *Guide to the Assessment of Practical Skills in IVQs*.) It will normally be a second choice mode of assessment, which must be carefully designed and undertaken. Only high quality simulated work experience which reflects the reality of a true work environment with its attendant constraints and pressures is acceptable.

Whatever the circumstances in which simulated work experience is used, assessment must meet the full requirements of the particular practical competence(s). The assessor must be confident that the competence can be transferred to a range of working environments.

Reasons for using simulation could include confidentiality, safety, covering contingencies and increasing access. Some examples of situations where simulation may be appropriate are:

- candidate's workplace does not offer opportunities to provide appropriate evidence for some part of the standards, and alternative opportunities are not readily available
- infrequent events and waiting for the event to occur could delay assessment
- avoiding hazards to the candidate or others in the working environment; procedures which may have dangerous or complicated consequences, eg dealing with a fire or handling dangerous chemicals
- life-threatening conditions, such as resuscitation of a person who has stopped breathing
- situations in which collecting evidence would intrude on personal privacy or confidentiality.

Simulation, if used, should be used sparingly. A high proportion of simulation could call into question the credibility of assessment. Furthermore, such 'artificiality' of the evidence could demotivate the candidate.

Witness testimony

It is important to recognise that only assessors whose names have been submitted to City & Guilds for a particular IVQ may formally assess a candidate's competence for that qualification. However, the candidate's colleagues, clients, managers, suppliers and others may be able to provide valuable evidence of a candidate's performance of particular activities which relate to the standards. We refer to these as 'witnesses'. Witnesses may simply authenticate that a particular piece of work was produced by the candidate, by signing, dating and/or making a statement at the bottom of the work, or else they may offer a written account of the candidate's performance. Such written accounts are often called testimonies or endorsements.

Testimonies and endorsements are of most relevance if the witness is fully aware not only of the job but also of the standards being targeted. If this is not already the case then the candidate has a responsibility to ensure that the witness is fully informed. The assessor will also need assurance that the witness understands the standards and has the necessary integrity to testify on competent performance. **It is the centre assessor's responsibility to judge the value of other people's observations.**

The candidate should

- explain why the witness testimony is required
- provide the witness with a copy of the relevant standards
- explain the specific experience/activity/achievement that relates to the specific practical competence
- encourage the witness to respond on letter headed paper, if appropriate.

Testimonies should

- be specific to the activities or product
- give a brief description of the circumstances of the observation
- give a brief description of the background of the witness and the observed activity
- identify the aspects of competence demonstrated.

In considering acceptance of evidence from witness testimonies, the assessor will need to

- judge their authenticity, validity and sufficiency
- check that the testimonies are clear about the standards and range covered
- check that they can be confirmed
- check that witnesses can be contacted for verification purposes, if necessary.

An example of a form for providing witness testimonies is included at the end of this section.

9.4 Projects and portfolios

Some IVQs require a candidate to complete a project or portfolio. You must refer to the relevant syllabus to see exactly where these are required. (See *Preparing projects and portfolios for International Vocational Qualifications.*)

Project

A project is a single, completed piece of work that provides evidence of a candidate's ability. It may be

- a written assignment with additional material, for example diagrams, photographs, etc
- a structured assignment, provided by City & Guilds, where we specify what must be produced.

Portfolio

A portfolio is a collection of evidence that a candidate presents to demonstrate competence in the skills specified.

The syllabus for each IVQ states what practical competences and knowledge requirements are required for a project or portfolio. The syllabus will also indicate if there are any particular requirements about what the project/portfolio must contain and how it should be presented. Although the format may vary according to the IVQ, as general guide, they should contain:

- candidate's details
- an index/referencing system which
 - is described for the assessor and verifiers
 - is clear and easy to follow
 - contains cross references of evidence with claimed competences
- only evidence presented for summative assessment (not practice/formative assessment material – see section 9.5)
- a signatory list, if appropriate, so that any signatures on the evidence items and reports can be recognised and authenticated.

When reviewing a portfolio of evidence assessors must assess it against the standards. They should not take into consideration any of the following aspects of the portfolio of evidence:

- general appearance
- size
- conformity with assessor/verifier guidance on format
- creativity in construction
- quality of printing, photographs etc.

unless the criteria relate directly to the standards or the format has been specified in the syllabus.

In order to avoid producing an unnecessarily large portfolio, candidates should cross-reference the evidence and should not photocopy the same evidence to satisfy different parts of the award.

We have included at the end of section 9.6 a portfolio checklist which candidates and assessors may find helpful when planning the format of a portfolio.

It should be noted that a project or portfolio of evidence is the candidate's property and remains the candidate's property when s/he leaves the centre. However, centres should make arrangements to ensure portfolios are available for the external verifier to inspect on the next verification visit. Centres will also need to establish their own policy and procedures regarding evidence of a confidential nature, which they would not wish to leave their premises.

9.5 Assessing competence

Competence is determined by the ability of the candidate to meet the standards set on the occasion that the task is performed. In judging a candidate competent, the assessor should be convinced that he/she meets the standards and will continue to do so in the future.

It is important to note that there are two types of assessment – *formative* and *summative*.

- **Formative assessment**

This is used during training to assess the progress the candidate is making towards the practical competence(s). The assessors will discuss with the candidate what has been achieved and what still needs to be learned.

- **Summative assessment**

This is used to determine the final level of achievement and to record a statement, mark or competence demonstrated. It will not be assessed again.

There are a number of different ways of assessing competence but the following points should be borne in mind.

Assessment may be

- through observation of a candidate's performance, supported by oral questioning
- through inspection of products
- carried out in the course of a candidate's ordinary work
- undertaken separately on or off the job
- arranged at any time to suit candidates and the centre, but for summative assessment it should not be undertaken until the assessor believes that the candidate has mastered the relevant competences for assessment.

Whenever formal summative assessment is carried out all, the relevant criteria should be met, ie the evidence generation is task focused and undertaken in a *holistic* manner.

Observation of performance

There are four key stages in conducting an assessment through observation.

- **Planning** – assessment observations must be planned carefully and the candidate briefed and given the opportunity to clarify any issues, although there may be circumstances when an unplanned observation leads to evidence of competence. If a project or portfolio is required the candidate must be given the date by which it has to be completed.
- **Observation of performance** – the assessor should observe unobtrusively the candidate carrying out the required activities and, afterwards, ask any questions necessary to confirm candidate's knowledge and understanding.
- **Inspection of product evidence** – the assessor should inspect any products created, again asking questions as appropriate.
- **Feedback** – the assessor should inform the candidate of his/her achievement and give constructive feedback.

Inspection of products

Whether assessing evidence for individual competences or undertaking summative assessment of a project or portfolio, assessors must ensure that all evidence is

- **Valid** – meets the requirements of the qualification in terms of skills, knowledge and an appropriate level of competence and does not introduce any bias or irrelevant demands.
- **Authentic** – it is the candidate's own work. Detailed and careful questioning will be required to establish the facts. For example, is the evidence entirely the candidate's own work, or the result of teamwork? Was the candidate only responsible for the final outcome rather than the initial set-up eg in the use of spreadsheets and databases, the facility may have been set-up by someone-else and the candidate may have only been responsible for inputting data.
- **Reliable** – it can be checked and confirmed by a second party.
- **Current** – it is not out of date. If the evidence was produced some time ago then the assessor needs to consider whether the practices, procedures and technology are outmoded or current eg within the last two years.
- **Sufficient** – enough evidence to demonstrate the candidate's competence.

An assessor must ensure that they provide clear records of how the evidence was assessed, as this must be made available for both internal and external verification.

9.6 Specimen forms

Whilst you may already have documentation designed to suit your own particular requirements, in this section we give you some examples of forms which can be used for recording information during various stages of the assessment process. You are not required to use them but may photocopy them if you wish to do so.

Candidate details

The information recorded by a centre when recruiting candidates to undertake their IVQ. Probably kept in centre's main recording system. Copy in internal verifier's file.

Diagnostic profile

A sheet used by assessors during the candidate's induction period to indicate skills, interests and aspirations to assist in guiding candidates about vocational choices.

Action planning sheet (Style 1)

A planning sheet used by assessors during the candidate's induction period to determine where and how evidence will be collected.

Action planning sheet (Style 2)

A planning sheet used by assessors during the candidate's induction period to determine where and how evidence will be collected.

Signatures in portfolio

A document that provides assessors and verifiers with information about the personnel who have signed the candidate's portfolio.

Witness testimony

A document used by a witness, someone other than the assessor, to give a brief description of the activities or product(s) undertaken or produced by the candidate.

Assessment plan – candidate briefing

A form that assessors may complete for candidates prior to a formal assessment session. Gives candidate warning of formal assessment dates and content.

Assessment report

A form that assessors may complete for candidates following a formal assessment session. Gives the candidate feedback on their assessment.

Assessor observation sheet

To record details observed by the assessor of the practical competences and underpinning knowledge demonstrated by the candidate.

Assessment interview

Supplementary question/answer sheet.
Evidence reference sheet.
Individual Unit Achievement record.

Portfolio checklist

Guidance on what should be included in a candidate portfolio.

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Candidate details

Candidate name	Candidate no.	DOB	M/F	Equal Ops. P/SR	Qualification no.	Status E/T	Place of work	Start date	Date reg.	Leave date

DOB = Date of birth M/F M = Male F = Female Equal Opportunities: P = Physical disability SR = Special requirements Status: E = Employed T = Trainee
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Diagnostic profile

Candidate name _____

Date _____

Present employer	What I would like to achieve in the future	Age	Gender
Present job		Rate your practical skills	
I like indoor work	Past employment experience	High	Low
I like outdoor work		Rate your thinking skills	
I like physical work	Qualifications	High	Low
I like desk based work		Rate your interpersonal skills	
I like reading	Other achievements	High	Low
I like working with others		Rate your work motivation	
I like working alone	Hobbies and Interests	High	Low
I can organise people		Rate your enthusiasm	
I like writing letters	Skills presently possessed	High	Low
I like sports		Rate your integrity	
I like using scientific equip.	Skills I would like to acquire	High	Low
I like to make things		Rate your tenacity	

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Action planning sheet

Candidate name _____

Page [] of []

Unit and PC no(s).	Describe if present work covers the skills.	Describe new training required.	Target date [] Complete date []
	Describe if previous experience has covered the skills.	Describe action to acquire and collect the evidence.	

Date agreed _____

Candidate signature _____

Assessor name _____

Assessor signature _____

Unit and PC no(s).	Describe if present work covers the skills.	Describe new training required.	Target date [] Complete date []
	Describe if previous experience has covered the skills.	Describe action to acquire and collect the evidence.	

Date agreed _____

Candidate signature _____

Assessor name _____

Assessor signature _____

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Action planning sheet

Candidate name _____

Page [] of []

Unit & PC no(s).	Details of action required to acquire skills and collect evidence	Type of evidence and methods of collection	Target date	Completion date

Date agreed _____

Candidate signature _____

Assessor name _____

Assessor signature _____

--	--	--	--	--

Date agreed _____

Candidate signature _____

Assessor name _____

Assessor signature _____

--	--	--	--	--

Date agreed _____

Candidate signature _____

Assessor name _____

Assessor signature _____

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Signatures in portfolio

Candidate name _____ Date _____

Qualification title _____ No. _____

Name	Role	Company	Signature

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Witness testimony

Witness name _____ Candidate name _____

<p>Witness contact address</p> <p>Tel no.</p>	<p>Details of unit, practical competences covered by witness activity/product.</p>	<p>Please give a brief description of the activities or product(s) observed.</p>
<p>Please state relation between witness and candidate:</p>	<p>Witness expertise (in relation to above evidence):</p>	

I confirm that I have impartially observed the candidate undertake the above stated activity. I understand how the activity/product relates to the standards and confirm that the candidates performance meets the requirements of the standards.

Signature of witness _____ Date _____

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Assessment plan (used for briefing the candidate)

Candidate name

Qualification no.

Place of assessment

Unit no.

Date of assessment

Practical competence no(s).

This assessment will include:

- Observation
- Product evidence
- Oral question and answer
- Written assessment
- Other (specify)

The candidate may provide any of the following evidence for consideration prior to the assessment:

- Supplementary evidence
- Witness testimony

Additional assessor comments:

Candidates are responsible for ensuring that they understand the form and content of the assessment. They may question their assessor before and after the assessment.

This assessment will be concluded with a de-briefing session between the assessor and the candidate. Where a candidate is unsuccessful, the need for further development of skills will be identified. An action plan and new assessment plan will also be prepared.

Candidate signature

Assessor name

Assessor signature

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Assessment report

Candidate name _____

Date _____

Qualification title _____

Place of assessment _____

Covered in assessment		Assessment methods used	General comments – Activities and products
Unit	PC no(s)	Tick (✓) each used	
		Observation <input type="checkbox"/>	
		Inspection of product evidence <input type="checkbox"/>	
		Witness testimony <input type="checkbox"/>	
		Written questions <input type="checkbox"/>	
		Oral questions <input type="checkbox"/>	
		Case study <input type="checkbox"/>	
		Accredited prior learning <input type="checkbox"/>	
		Professional discussion <input type="checkbox"/>	
		Media: photo/video/audio/disk <input type="checkbox"/>	

Unit(s) awarded:		Unit(s) not awarded:	
Action plan for completion of unit/qualification		By when	Date completed

Candidate signature _____

Assessor name _____

Assessor signature _____

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Assessor observation sheet

Candidate name _____ Date _____

Qualification title _____

Place of assessment _____

Covered in assessment Unit PC no(s).	Details of practical competence and knowledge requirements that the candidate has demonstrated on this occasion.

Candidate signature _____

Assessor name _____ Assessor signature _____

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Assessment interview, supplementary question/answer sheet

Candidate name _____

Date _____

Qualification title _____

Unit	PC no(s)	Question asked by assessor	Answer given by candidate

Assessor comments

Candidate signature _____

Assessor name _____

Assessor signature _____

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Evidence reference sheet

Qualification _____

I confirm that the candidate has demonstrated competence in this element by meeting all the performance criteria/national standards of work within the evidence requirements/scope, and that the candidate has the necessary knowledge and understanding.

Level _____

Signature of Assessor _____ Date _____

Unit title _____

Signature of Candidate _____ Date _____

Ev. No.	Evidence title	Performance indicators/knowledge requirements

Initials of Internal Verifier (if verified) _____ Date _____

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Individual Unit Achievement record

Qualification

Candidate name

Unit	Title	Date achieved	Assessor's name and signature	Internal Verifier's name and signature	Date
Unit					
Unit					
Unit					
Unit					
Unit					
Unit					
Unit					
Unit					

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Portfolio checklist

A portfolio is a collection of evidence that a candidate presents to demonstrate competence in the skills specified. The size and format will vary depending on the qualification being undertaken but a portfolio should be assembled in such a way as to provide easy access to relevant evidence for the candidate, assessors and verifiers. The following layout is provided for guidance purposes.

Section 1 – Personal section

- Cover sheet with details of
 - candidate name
 - centre name and location
 - business address and telephone number, if applicable
- List of contents
- The context in which the candidate is undertaking the IVQ
This will depend on whether the candidate is a full time student or employed full or part-time but could include
 - a short statement explaining the reasons for undertaking the IVQ
 - an up to date CV
 - copies of relevant certificates
 - job description
 - organisation chart.

Section 2 – Assessment documents and qualification requirements

- Assessment plans
- Assessment summary reports
- Assessor feedback reports
- Individual unit summary progress record
- Qualification requirements for units chosen.

Section 3 – Evidence reference sheets (CARs)

- Evidence reference sheets (candidate assessment record) for each practical competence and/or knowledge.

Section 4 – Evidence

- Index of evidence with cross reference. (Don't photocopy evidence to satisfy different practical competences, cross reference it.)
- Numbered evidence, which may include
 - products of work
 - witness testimony
 - observation reports
 - professional discussion reports
 - assessor questions
 - personal reports/storyboards/case studies.

Candidates are recommended to index evidence numerically, from 1 to 50 for example, thereby supporting consistency within the Centre and ensuring that the portfolio is easy for assessors and verifiers to follow.

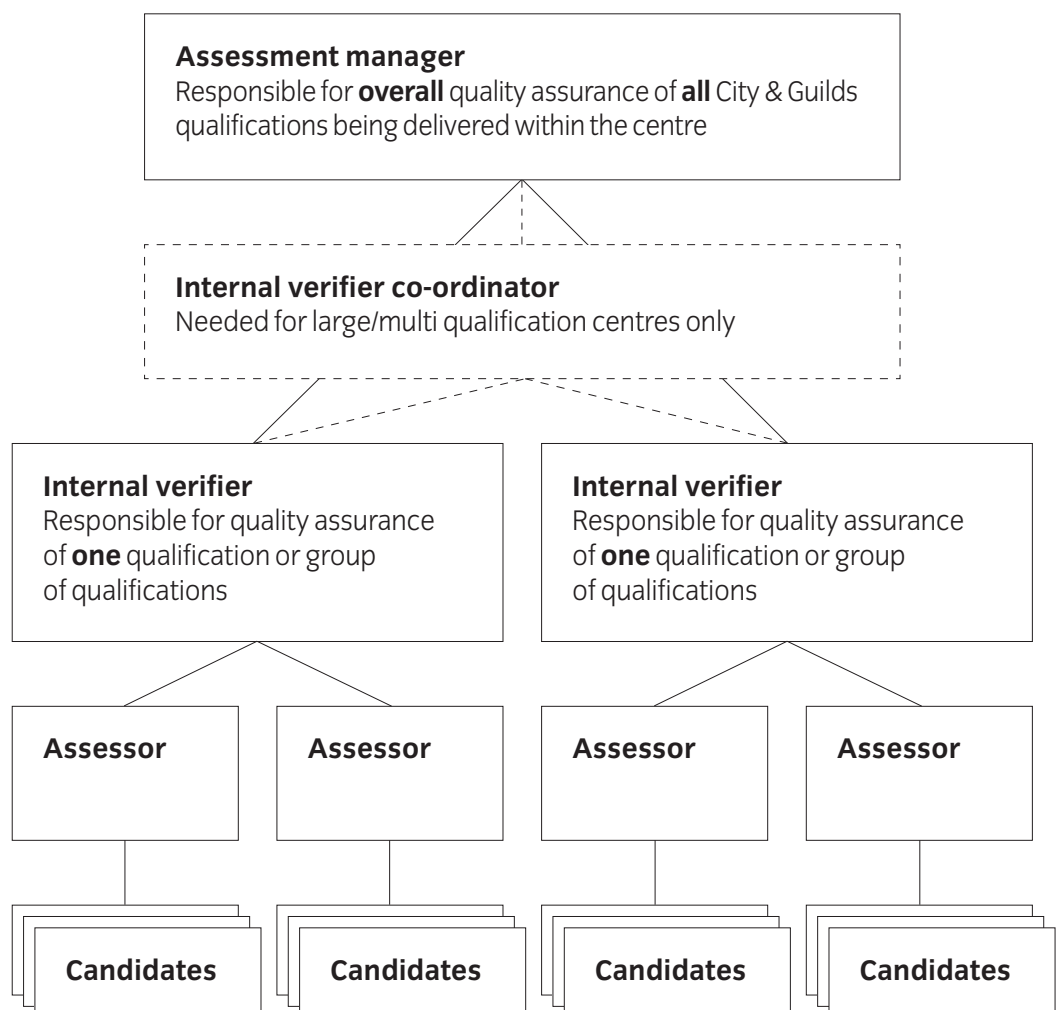
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10 Internal verification

10.1 Centre internal quality assurance arrangements

In section 9 *Assessment*, we saw that practical competences may be assessed using a variety of methods in different situations and locations. Assessment may also be carried out by a number of different people, depending on the size of the centre, number of candidates or the nature of the qualification. It is essential, therefore, that every centre has internal quality arrangements to ensure that no matter where, when, what or by whom assessments are undertaken, they are consistent and reliable.

Many centres will already have well established internal quality arrangements in place but, for other centres, the development of a formal internal verification structure may be a new requirement. In this section we will therefore look more closely at the role of internal verifier because whether a small centre offering a single qualification appoints just one, or a multi-sited, multi-qualification centre appoints many, internal verifiers are critical to the efficiency and effectiveness of a centre's quality assurance structure.



In section 2.4 we have listed the main responsibilities of an internal verifier, however here we are providing guidance in those areas we feel may need some clarification:

- monitoring assessment practice
- outcomes of sampling activities
- maintaining records and documentation
- liaising within the centre and with City & Guilds.

10.2 Monitoring assessment practice

Why?

The purpose of monitoring assessment practice is

- to check that the required standards of assessment are met **consistently** by **all assessors**, thereby providing **all candidates** with **fair** and **reliable assessment**
- to identify any areas where assessors need help or further development.

How?

The first thing an internal verifier must decide is how s/he is going to check the reliability of the assessment process for the qualification for which s/he is responsible within the centre. In a very small centre it may be possible to check every single assessment decision, but it certainly would not be practical in most centres. An internal verifier, therefore, must find a way of reviewing the quality of assessment practice to get a clear view of the work of all the assessors. This is done through a process of 'sampling' assessments.

What?

An internal verifier will need to sample sufficient evidence, through direct observation of assessor practice and review of assessor/candidate product, paper or computer based evidence and records, to form a view about the assessment practice within the centre. They will need to check assessment decisions of every assessor over a period of time, but what and how many? In deciding, consideration must be given to a number of factors including those listed in section 10.3 *Sampling strategy*. For example, all assessors must be included in the sample during the year, but if they are experienced it may be necessary to sample only one or two individual assessment decisions per candidate and only two or three candidates for each assessor. However, if there is a new or inexperienced assessor, the internal verifier will need to sample many more of their assessment decisions for the first 6-12 months to ensure that their assessments are reliable and consistent over a period of time.

When?

It is important that sampling is carried out at different stages in the assessment process and include formative as well as summative assessments (see 8.5), so that any problems can be identified and rectified at an early stage. It must include direct observation of assessors when, with a candidate, they are

- action planning
- assessment planning
- briefing
- observing performance
- inspecting product or documentary evidence
- questioning and giving feedback.

10.3 Sampling strategy

Sampling of assessments cannot simply be 'random sampling of assessment decisions'. It must be planned carefully in order to be representative of centre assessment practice across the whole qualification or group of qualifications. The internal verifier must therefore develop a sampling strategy which **clearly identifies the overall approach to the development of an effective sampling process**. This will vary from centre to centre but in every case there are particular factors which must be taken into consideration.

- **Size and geographical spread of centre.** What is the number and geographical spread of the assessment locations? There could be
 - a single assessment site at the centre
 - several assessment sites at satellite centres
 - workplace assessment sites.
- **Number of assessors.** Are there
 - one or two assessors
 - several assessors spread across a number of sites
 - workplace supervisors?
- **Level of experience in assessment and verification practice.** Are the staff
 - experienced in delivering and assessing these particular qualifications
 - new to assessing?
- **Range of assessment method used.** These will certainly include:
 - observation of performance
 - inspection of products
 - assignments/portfolios
 - written/computer based tests.
- **Type of assessment.** To pick up problems early on, check both
 - formative assessment
 - summative assessment.
- **Number and type of candidates.**
 - small or large number registered for this qualification
 - diversity, ie gender, age, ethnic origin, full/part time, employed/unemployed, particular requirements.
- **Qualification(s) being delivered.** Are there any issues with this qualification eg
 - a new qualification
 - particular parts of it with which assessors/candidates have difficulty?

When implemented, the sampling strategy must ensure there is sufficient, varied sampling to provide a true picture of the quality of assessment in the centre, so that the internal verifier (and the external verifier) can be sure decisions not sampled also meet the required standard.

10.4 Sampling plan

A sampling plan is a document that shows how the strategy is applied in a specific situation, eg for a particular group of candidates. It may be in the form of a spreadsheet or chart and will include

- assessor name
- candidate name(s)
- practical competences/knowledge requirements
- method of assessment
- assessment location.

Individual sampling plans drawn up against the strategy will work towards getting a sample of assessment activity that is representative of assessment practice across the whole centre. We have included examples in section 9.8.

10.5 Outcome of sampling activities

As we have seen, sampling of assessment practice should be ongoing and not a 'one-off' activity. Equally, implementing follow-up action should not be an 'end of year' activity. It is essential that an internal verifier immediately provides constructive feedback to each assessor. This should be on an individual basis and not in front of other assessors.

Even in the best and most experienced of centres, it is likely that sampling assessment practice will reveal some inconsistencies. To decide an appropriate course of action, the internal verifier must consider carefully any weakness/issue identified, for example does it relate to

- just one assessor – is s/he new to assessing; experienced but new to the centre; new to this qualification
- a number of assessors
- one particular piece or type of evidence
- one particular practical competence/knowledge evidence requirement or the qualification as a whole?

There clearly will be a training need, but what type? It is the internal verifier's responsibility to facilitate appropriate on-going development and training for assessors. For example arrangements could be made for

- extra support and guidance for an individual, if just one assessor is experiencing difficulty
- a standardisation workshop, if a number of assessors are making inappropriate/inconsistent decisions
- further guidance from City & Guilds, if the problem arises from uncertainty about interpretation of requirements for a new qualification.

Remember, there is little point in developing a highly efficient sampling strategy unless there is an equal commitment to addressing the issues it reveals.

10.6 Records and documentation

An essential function of the internal verifier role is the issue to staff and candidates of appropriate documentation relating to the qualification(s) for which they are responsible and for the maintenance, security and tracking of accurate, up-to-date paper or computerised records for candidates and assessors. An integral part of the external verifier's activity will be the inspection of the assessment and verification records. S/he will want to see an audit trail of who, where, when and what the internal verifier has monitored.

The following is not a comprehensive list but is provided for guidance purposes:

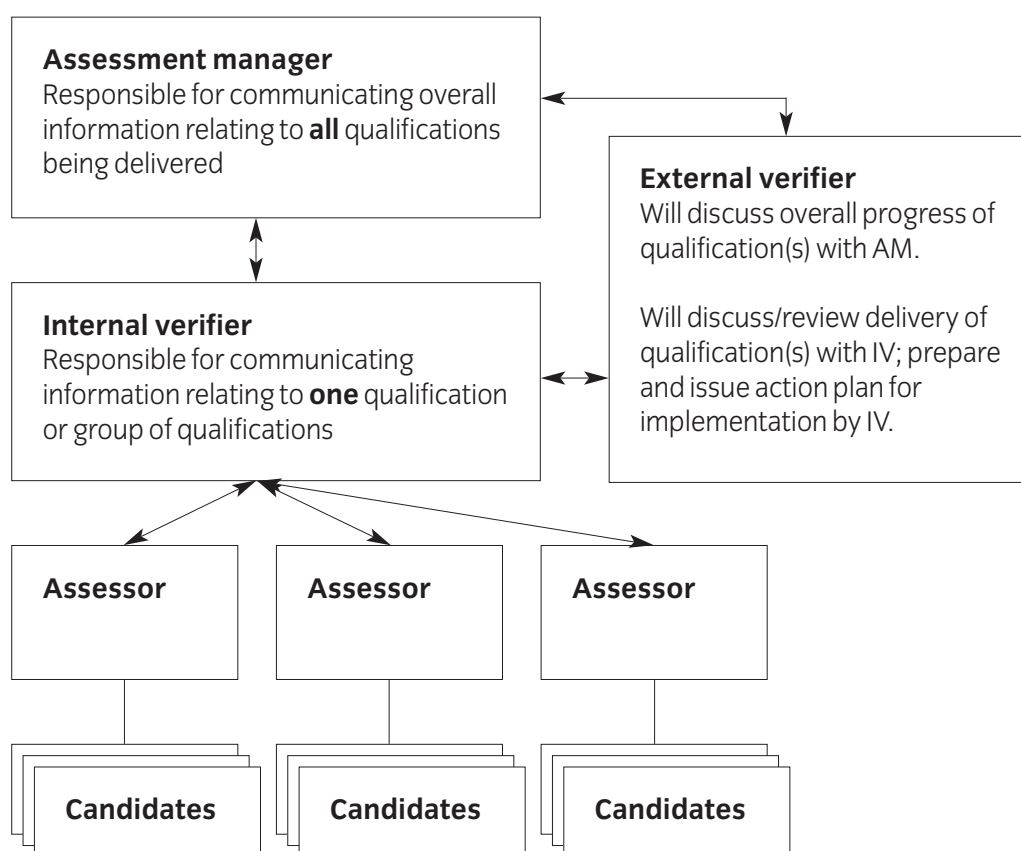
- **Candidate records.**
 - name
 - date of birth
 - address
 - date of registration
 - enrolment number
 - qualification title and number(s)
 - particular assessment requirements
 - assessor name(s)
 - workplace, if applicable
 - progress records.
- **Assessment records.**
 - name of candidate
 - name of assessor(s)
 - assessment plans, reviews and feedback records
 - units/practical competences assessed, type of evidence and method used
 - dates on which assessments took place
 - where assessment(s) took place
 - assessment decisions
 - assessor signatures.
- **Quality assurance records**
 - names of all assessors for whom IV is responsible, with cvs, including qualifications and training relating to assessment practice and occupational expertise specific to the qualification for which they are acting as an assessor
 - sampling strategy document
 - sampling plans
 - assessments sampled, including assessor and candidate names
 - dates of sampling
 - findings of sampling
 - records of feedback
 - minutes/notes of staff meetings
 - staff development plans/records
 - external verifier reports.

- **Miscellaneous**

- relevant qualification documentation and subsequent City & Guilds information
- records of issue/circulation of the above to all appropriate staff
- equal opportunities/access to assessment policies
- appeals/complaints – policies relating to and records of any arising.

10.7 Liaising within the centre and with City & Guilds

For individual qualifications, an internal verifier will be the conduit of information both within the centre and with the City & Guilds external verifier.



While the external verifier will liaise overall with the assessment manager, for an individual qualification or group of qualifications it is the internal verifier who will be the main contact. (In small centres, the internal verifier will probably have the role of assessment manager.)

10.8 Specimen forms

You may already have documentation designed to suit your own particular requirements, but in this section we give you some examples of forms which can be used for recording information for various stages of the internal verification process. You are not required to use them but may photocopy them if you wish to do so.

Internal verification report – assessor monitoring

Used for monitoring of individual assessors. Records a single assessment activity.

Internal verification report – assessment monitoring and review

Used for monitoring of individual assessors. Records a multiple assessment activity.

Internal verification and candidate tracking record

Information recorded by an internal verifier. Shows candidate progress and verification checks on assessment. Some centres keep this record as a wall chart.

Internal verification sampling plan 1

Prepared by internal verifier to provide a sample of assessment activity which covers different assessors, sites, levels/units and assessment methods.

Internal verification sampling plan 2

Prepared by internal verifier to provide a sample of assessment activity which covers different assessors, levels/units and assessment methods.

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Internal verification report

Assessor monitoring

Verifier name _____ Qualification title _____

Assessor name _____ Unit(s) _____

Candidate name _____ Practical competence no(s) _____

Evidence checklist	Yes	No	Verifier comments
All criteria covered.			
Evidence valid, authentic, reliable, current and sufficient.			
Portfolio references correct.			

Assessor checklist	Yes	No	Verifier comments
Candidate encouraged and put at ease.			
Assessment procedure explained and agreed with candidate.			
All possible sources of evidence covered.			
Appropriate questions used to cover knowledge and understanding.			
Inconsistencies in evidence are clarified and resolved.			
Clear and appropriate assessment decision made.			
Clear and helpful feedback provided.			
Action plan agreed and documentation completed as necessary.			

(continued)

Method of assessment used (Please ✓)

- Observation
- Inspection of product
- Witness testimony
- Written questions
- Case study
- Oral questions
- Accredited prior learning
- Photo/video/audio/disk

General comments by verifier

Assessor signature

Date

Internal Verifier signature

Date

Internal verification report – Assessment monitoring and review

Verifier name _____ Qualification title _____

Assessor name _____ Unit(s) _____

Candidate name _____ Practical competence no(s) _____

Types of assessment verified (Please ✓)			
Observation		Oral questions	
Portfolio		Written questions	
Inspection of product		Photo/video/audio/disk	
Witness testimony		Other:	

Feedback to assessor

Action required

Assessor signature _____ Date _____

Action complete

Assessor signature _____ Date _____

Verifier signature _____ Date _____

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Internal verification and candidate tracking records

Qualification title and no.

Candidate name	Start date	Details	Unit no.			Unit no.			Unit no.													
			PC 1	PC 2	PC 3	PC 4	PC 1	PC 2	PC 3	PC 1	PC 2	PC 3										
		Date completed																				
		Assessor name																				
		Date verified																				
		Date completed																				
		Assessor name																				
		Date verified																				
		Date completed																				
		Assessor name																				
		Date verified																				
		Date completed																				
		Assessor name																				
		Date verified																				
		Date completed																				
		Assessor name																				
		Date verified																				

Internal verifier name

Internal verifier signature

Date

Key: PC = Performance criteria

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Internal verification sampling plan 1

Qualification title and no.

Date	Assessor	Candidate	Level	Unit(s)	PC(s)	O	PE	Q	PS	CS	WT	M	APL

Internal verifier name

Internal verifier signature

Date

Key: O = Observation PE = Product evidence Q = Questions: written/oral PS = Personal statement CS = Case studies WT = Witness testimony
M = Media: photo/video/audio/disk APL = Accredited prior learning

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Internal verification sampling plan 2

Qualification title and no.

Date	Assessor	Candidate	Site	Level	Unit(s)	PC(s)	Assessment method used

Brief account of reason for sample selected

Internal verifier name _____ Internal verifier signature _____ Date _____

Key: O = Observation PE = Product evidence Q = Questions: written/oral PS = Personal statement CS = Case studies WT = Witness testimony
M = Media: photo/video/audio/disk APL = Accredited prior learning

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11 External verification

If you are approved to run one of our qualifications which requires an external verifier, you will be visited on a regular basis. (You may be allocated more than one external verifier if you are offering a number of different qualifications.) The purpose of the visit is to monitor your centre's performance against our approval criteria; to identify your strengths and weaknesses and to make recommendations as to how the latter may be overcome. The external verifier will prepare a comprehensive report, discuss it with your assessment manager or appropriate internal verifier and then leave a copy with you at the end of the visit. This instant feedback will provide you with useful management information and enable us to know whether you continue to meet our approval criteria.

These guidance notes have been produced to provide you with information on

- visit procedures
- what external verifiers look for during the course of the visit
- how they report their findings on the *Visit report – verification*.

Where it is not appropriate to receive a verification visit, an optional advisory visit may be requested (see section 1.4, *Advisory visits*).

11.1 Visit procedures

The procedures for verification visits are summarised below.

Prior to the visit

Good planning is essential so the external verifier will contact your assessment manager or the internal verifier responsible for a specific qualification in order to

- check the details of the relevant internal verifiers, assessors, candidates and assessments being undertaken so that they can devise an appropriate sampling plan
- plan and agree the visit schedule with your internal verifier (or assessment manager, where appropriate)
- prepare a *Visit planner* which will state clearly who and what they will wish to see* and send you a copy.

*It should be noted that the external verifier may still require to see people and evidence not specified in advance.

During the visit

The external verifier will

- check that the previous action plan has been implemented
- inspect a range of evidence to confirm ongoing compliance with the approval criteria
- observe assessments and sample candidates' evidence
- talk to candidates
- examine internal verification and assessment records
- check claims for certification
- meet the assessment manager, internal verifier(s) and assessors to discuss assessment and quality control procedures

- check arrangements for delivering centre assessed theory tests eg question banks, frequency rates
- observe trainer(s) performance, if applicable.

At the end of the visit

The external verifier will

- complete a report, which will include an action plan
- leave a copy of the report for the assessment manager
- forward a copy of the report to City & Guilds head office or the appropriate branch office.

11.2 External verification of centres with multiple sites

Some centres may be multi-sited. All satellite sites running qualifications under a given centre approval are required to meet the approval criteria. In such cases, the external verifier may arrange with a centre to visit more than one site in a visit. Alternatively, the external verifier will arrange to visit different sites on different visits to ensure that they are able to report on provisions at all assessment sites. Arrangements for external verification visits will be made by prior consultation with the assessment manager or internal verifier and confirmed on the *Visit planner*.

Centres with satellite in close proximity may be visited on the same day if there is sufficient time.

11.3 Sampling evidence and decisions

External verifiers will sample assessment and verification decisions made by your centre in order to check the accuracy and consistency of your internal quality arrangements.

There can be no fixed rule about what and how much an external verifier must sample as centres are very different. Therefore, each external verifier is required to develop a sampling strategy which is tailored to the needs of individual centres. This will reflect the

- size and geographical spread
- number of assessors and internal verifiers and their level of experience in assessment
- range of assessment methods used
- the number and type of candidates
- the efficiency of the internal verification system.

Although an external verifier has no fixed formula for deciding how many assessments to check, they, and we, must be sure that their sample size will be sufficient to provide a clear view of the quality of the assessment process across the whole of the centre over a period of time.

As we outlined above in 11.1, your external verifier will give you advance notice, using the *Visit planner*, of the candidates and assessors they wish to include in the sample, so that you can make sure they are available. However, *we do require them to choose some candidates for verification purposes without prior notification. The selection of such candidates will not be at the discretion or convenience of the centre.*

External verifiers will sample assessment and verification decisions made by your centre in such a manner that, over a period of time, the sampling will cover all the internal verification and assessment methods used, all assessors and all assessment sites.

11.4 The visit report

At the end of each visit the external verifier will review their findings, which they will have been recording throughout the visit, and complete a report form. A copy will be left with you.

The *Visit report – verification* form has been devised not only to provide the means for external verifiers to record their observations and judgement of evidence seen, but also to provide a structure for the conduct of visits. This ensures

- external verifiers see sufficient evidence to enable them to make a valid decision about centre performance
- all verifiers look for the same type of evidence of centre performance on all visits
- centres have a detailed report of the external verifier’s findings, which will include an action plan.

The report will give you, and us, a clear view of how well you are doing in four key areas of activity:

- management and administrative systems
- physical and staff resources
- assessment
- quality assurance.

Ideally every visit should end with the external verifier being satisfied that you are meeting all City & Guilds requirements. However, even in the best centres, there is usually room for improvement so the verifier will complete an action plan at the end of the report which will tell you what needs to be done and by when.

11.5 Guidance on reading the report

This section gives an outline of how the external verifier will complete the report and suggests where evidence may be gathered for some questions. (See the sample form at the end of this section.)

Centre information	
Centre address	For multi-site centres: if the EV has visited the main site at all, or has visited more than one satellite, the main site address will be shown; if the EV visited a satellite only, the satellite address will be shown.
Name of assessment manager/ internal verifier	The EV will see the person responsible for overall implementation of City & Guilds qualifications, the assessment manager, or the person responsible for the individual qualification (IV) if they are reporting on just one qualification.

Section 1.1 Centre performance

Overall view of centre's performance

The EV will spend time at the end of the visit considering their findings, as recorded in the body of the report, and then use their professional judgement.

If they are happy with everything seen, they will tick (✓) the 'yes' boxes.

However, the number of qualifications/complexes included in one report can have a significant effect on the overall summary of the centre's performance.

Example 1: (Two different qualifications)

A centre runs *Food preparation* (7065) very well but their *Hairdressing* (6902) staff resources are very poor.

If one form is used to report on qualification 7065 only (and a separate one for 6092) all the 'yes' boxes could be ticked on page one saying that the centre satisfies City & Guilds' standards.

If the EV was using the **same form to report on both qualifications** they would have to tick the 'no' box for physical and staff resources.

Example 2: (One qualification, three complexes)

The centre is running *International Tourism* (4867)

This qualification is made up of three awards or complexes:

01 *Certificate in International Tourism*

02 *Diploma in International Tourism*

03 *Advanced Diploma in International Tourism*.

During the visit the EV looked at evidence and talked to assessors and candidates for all three awards/complexes. The EV was happy with everything inspected/seen for 01 and 02 but was not happy with the assessment process for 03.

In that case, when considering the overall performance of the centre in the four key areas of operation, the EV would ✓ the 'yes' boxes except for the assessment one, for which they would ✓ the 'no' box.

The summary of centre performance on page one, will be their balanced opinion of **all** practice seen.

Centre approval recommendation	<p>Finally, the EV will reconsider the evidence gathered throughout the visit.</p> <p>If they have concerns about any aspect of the centre’s overall management or assessment/examination of a City & Guilds qualification, they will discuss them with the assessment manager and draw up a clear action plan with detailed action points and dates by which they must be achieved (section 11).</p> <p>However, if the EV has ticked (✓) ‘no’ boxes in section 1.1 and has serious doubts about the standard of the centre’s overall performance, it may be appropriate to recommend to us that centre approval is suspended or withdrawn. Section numbers of the report will show reasons. We will review the EV’s findings and then take the necessary follow up action.</p> <p>This is an extreme course of action as this will mean the centre cannot run any City & Guilds qualification or enter candidates for examinations.</p>
Section 1.2 Qualification performance	
	<p>The EV will now need to consider their findings for each qualification on which they are reporting.</p> <p>If they are happy with everything seen for all qualifications, they will confirm that ‘approval should continue for the qualifications covered by this report’ by ticking (✓) the ‘yes’ box.</p> <p>However, they may be concerned about some individual qualifications or complexes within the qualification(s) as in the examples above. Look again at the previous examples.</p> <p>Example 1: (Two different qualifications) A centre runs <i>Food Preparation</i> (7065) very well but their <i>Hairdressing</i> (6902) staff resources are very poor.</p> <p>The EV is not able to confirm that approval should continue for both qualifications so would tick the ‘no’ box, enter the details of <i>Hairdressing</i> (6902) and make their recommendation. The EV may feel qualification approval should be withdrawn until the centre had got the appropriate resources in place. The EV will enter the section no of the report which would show why, eg 5.4, 5.5 and 11.2.</p> <p>The centre will continue to be approved to run Qualification 7065 because it is not listed in section 1.2.</p>

	<p>Example 2: (One qualification, three complexes) The centre is running <i>International Tourism</i> (4867) This qualification is made up of three awards or complexes: 01 <i>Certificate in International Tourism</i> 02 <i>Diploma in International Tourism</i> 03 <i>Advanced Diploma in International Tourism</i></p> <p>The EV is happy with everything inspected/seen for 01 and 02 but is not happy with the assessment process for 03. Therefore the EV is not able to confirm that approval should continue for the whole qualification so would have to tick the 'no' box, enter the qualification title and no. – <i>International Tourism</i> (4867) – but this time add the complex no. in the next column. The recommendation would apply to this complex only ie 03 The <i>Advanced Diploma in International Tourism</i>. The centre could continue to deliver and claim certificates for 01 <i>Certificate in International Tourism</i> and 02 <i>Diploma in International Tourism</i>.</p>
Nature of this visit/next visit	<p>Visits can be: Routine – a part of the normal cycle of external verification visits.</p> <p>Additional – when shown in 'next visit' it will indicate the EV is recommending an extra visit; under 'this visit' it will have been requested by City & Guilds head office/local office, possibly in response to the EV's recommendation.</p> <p>First visit after approval – centres cannot request certification for candidates until at least one satisfactory visit after a qualification approval. For this reason it is important that this visit type is identifiable.</p>
Duration of visit	Time actually spent at centre.
Date of next visit	This may be an approximate date. Filling in the month and year would be enough – the EV would arrange a day and confirm arrangements with you nearer the time. 'To be arranged' is not acceptable.
Section 2 Changes to centre information	
	The EV will check with the centre to see if there have been any changes to the information supplied at the time of seeking approval, to be found on Forms CGI/CAP and CGI/QAP, or on subsequent approval updates (Form CGI/APU). If so, the centre must notify City & Guilds head office or the relevant local office by completing an approval update form (CGI/APU).

Section 3 Previous action plan	
3.1 – 3.4	Usually an external verifier feels at the end of a visit that there is some aspect of the centre's provision that could be improved so will have given the centre an action plan. During the course of this visit the EV will need to check that the centre has carried out the necessary/ recommended steps from the last visit. If the centre has not, the EV will record the reason why and ensure that the action is included in this visit's action plan (section 11).
Section 4 Management and administrative systems	
4.1	Evidence can be seen in organisation charts, staff responsibilities and documented instances of communications eg circulation lists. The EV will speak to senior management if possible and arrange future visits to satellites and other assessment sites, if relevant.
4.2 and 4.3	Again, evidence can be found in organisation charts and supported by assessment records.
4.4	The EV will spend time checking that records are detailed and accurate.
4.5	The EV will make a physical check.
4.6	The EV will ensure that any records they asked to see were available. If not, why?
4.7	The EV will want to see the appeals procedure and interview candidates to check understanding.
4.8	Do staff understand fully what they should be assessing and how they should be doing it?
Section 5 Physical and staff resources	
5.1	Evidence can be gained from: <ul style="list-style-type: none"> • health and safety documentation/checks • a walk-about • checking specific resources for qualifications • site visits or documents detailing resources • candidate interviewing • fulfilment of Real Working Environment arrangements where applicable.

5.2	<p>The EV will check that induction material is used and includes:</p> <ul style="list-style-type: none"> • equal opportunities/appeals procedures • candidate role/responsibilities • assessor role • IV role • communication lines • process of assessment • qualification requirements • quality assurance.
5.3	<p>Some indication is gained by the ratio of candidate/assessors/IVs but direct information about adequacy of assessment and internal verification is more reliable. The EV will look particularly at</p> <ul style="list-style-type: none"> • candidate support • roles and functions of key personnel • access to assessment • planning/tracking of assessment and internal verification.
5.4	<p>Evidence will come from</p> <ul style="list-style-type: none"> • CVs • IV/assessor questioning.
5.5	<p>Evidence gained from</p> <ul style="list-style-type: none"> • distribution lists • assessor questioning.
Section 6 Qualification status	
	<p>The questions on this form are applicable to all the qualification numbers entered in this section.</p>
Section 7 Observed assessments Section 8 Documentary and/or product evidence inspected	
	<p>These two sections are for noting details of the assessments that the EV samples. The form has room for notes on four assessments that the EV observes (section 7) and four pieces of documentary or product evidence that they inspect (section 8).</p> <p>Where more than four of either are sampled continuation sheet(s) will be used.</p> <p>Registration no. refers to the number given to candidates on registration with City & Guilds.</p>

7.1 – 8.2	<p>The EV will check that the necessary resources are in place and the practical competences and knowledge evidence are satisfied. The evidence will come from</p> <ul style="list-style-type: none"> • looking at assessment planning • observation of assessments • documentary evidence • discussion with assessors • discussion with candidates • recorded feedback • looking at pre-prepared questions that might be used for testing knowledge.
Section 9 Quality assurance systems	
9.1 – 9.6	<p>Arguably the most important part of the form, dictating the EV's confidence in the quality assurance structure within the centre. Evidence will come from candidate/assessor records and discussions with assessors and the person(s) responsible for monitoring the assessment process (the AM/IV). It is essential there is evidence of</p> <ul style="list-style-type: none"> • a system for tracking assessments that is centrally administered • appropriate sampling strategies and sampling plans covering the work of all assessors • various methods of sampling being used and dates which imply regular sampling. • feedback given to assessors • team meetings.
Section 10 Additional comments	
	<p>The comments section is for noting the following type of information:</p> <ul style="list-style-type: none"> • Evidence seen – information about key pieces of evidence seen; an overview of what has been seen; major changes to the centre that may be expected in the near future. • Good practice – the things the centre is doing well. • Market intelligence – where the centre is missing opportunities, or where there is room for further useful association between the centre and City & Guilds. For example if a centre is offering a small proportion of a group of qualifications when it is capable of delivering it all, it would benefit both the centre and City & Guilds to know. • Other – any information which does not fall into the above categories.

Section 11 Action plan for centre	
11.1 – 11.4	<p>A separate action plan will be written for each qualification included in this visit. The EV will</p> <ul style="list-style-type: none"> • consider carefully the notes made on this report form about the evidence seen throughout the day • decide if there any areas in which the centre needs to make improvements • if so, note the action the centre needs to take to enable it to develop/improve its implementation of the awards in accordance with City & Guilds' approval criteria • give a date by which time the action needs to be taken.
Signatures	<p>The EV will</p> <ul style="list-style-type: none"> • discuss these actions with the AM/IV and cross-reference to report sections for clarification • get the AM/IV to sign the report form.
Section 12 Action plan for external verifier/City & Guilds/local office	
12.1	<p>The EV will note in this section any follow-up action s/he needs to take, eg to seek clarification on a particular issue raised by the centre.</p>
12.2	<p>The EV will note any action that City & Guilds or the relevant branch office needs to take, eg provide the centre with information on other City & Guilds products or services.</p>

11.6 Outcomes of external verification visit

The role of the external verifier is to review centre practice, report their findings and make **recommendations** to City & Guilds head office or the relevant local office with regard to centre and qualification approval. We review each report to ensure recommendations are appropriate. If action has been recommended, eg withdrawal of approval, we will contact you direct to advise you of our decision.

There are several possible outcomes of an external verifier visit at both centre and qualification level:

Centre performance (section 1.1 of the report)

- approval to continue
- approval to be suspended
- approval to be withdrawn

Qualification performance (section 1.2 of the report)

- approval to continue
- approval to continue but certification to be withheld
- approval to be withdrawn

Centre and qualification approval to continue

If the external verifier is satisfied that the required standards are being met and there are no additional factors for consideration (see section 3.9 – Withdrawal and suspension of approval), we will normally accept their recommendation that approval continues, subject to on-going compliance with our approval criteria.

Qualification approval to continue, certification to be withheld

This means that you may not submit any claims for certification although you may continue to register candidates, enter candidates for examinations or purchase publications, etc.

The external verifier may recommend this course of action if deficiencies have been found in aspects of your activities, which mean there could be a risk of invalid claims for certification. For example, assessment does not meet the required standards or records of assessment show serious anomalies.

We would

- discuss the problem(s) with you
- agree a reasonable period within which you must undertake the action specified in the *action plan for centre* (section 11 of the visit report).

You would be required to

- carry out the actions identified
- notify us when you have done so
- provide evidence that all the agreed action has been taken. (This may necessitate an additional visit, for which a charge would be made.)

Your right to claim certification would be restored only when we were fully satisfied that all necessary action had been taken and there were no other reasons for questioning the validity of your claims.

Suspension or withdrawal of centre approval or qualification approval

The external verifier may recommend one of these options if significant faults have been found in your management and quality assurance of our qualification(s) or if previously agreed corrective measures relating to non-compliance have not been implemented.

11.7 Appealing against the external verifier's findings and recommendations

At the end of the report your assessment manager or internal verifier is asked to sign that they agree with the content of the report and that they accept on behalf of the centre the recommendations of the external verifier.

If they disagree with the findings of the external verifier, it is important that they make their reservations known to us immediately. An appeal should be made to City & Guilds head office/local office within seven days of the external verifier visit report being issued. Please follow the procedures described in the section on *Appeals, complaints and irregularities*.

11.8 Specimen forms

On the following pages you will find a copy of the forms which your external verifier will complete.

Visit planner (Form CGI/VPL)

Visit report – verification (Form CGI/EVR)

Visit planner

Form CGI/VPL



Edition 3

This planner confirms our recent telephone discussions regarding the requirements for my forthcoming visit. However, please note that I may wish to see other people or items of evidence on the day.

1 Centre	Centre no. <div style="border: 1px solid black; display: flex; justify-content: space-between; align-items: center; width: 100px; height: 20px;"> / </div>
Name of centre <hr/>	
Name of assessment manager <hr/>	
Name of external verifier*/ quality inspector* (*Delete as applicable)	
Date of visit <hr/>	

2 Title and number of qualification(s)	
Title	<div style="border: 1px solid black; display: flex; justify-content: space-between; align-items: center; width: 100px; height: 20px;"></div>
Title	<div style="border: 1px solid black; display: flex; justify-content: space-between; align-items: center; width: 100px; height: 20px;"></div>
Title	<div style="border: 1px solid black; display: flex; justify-content: space-between; align-items: center; width: 100px; height: 20px;"></div>

3 Members of staff I wish to meet			
Name	Role	Name	Role
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>

4 Outline programme for the visit (including assessment site(s) to be visited if different from the main centre)	
Morning <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	Afternoon <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

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5 Centre documentation

Please arrange for me to have access to all documentation relating to training/assessment/examination practice within your centre as agreed. In particular I will wish to see the following:

- _____
- _____
- _____
- _____
- _____
- _____
- _____

6 Training/Assessments to be sampled

Please arrange for me to **observe** the following training/assessment(s) and/or **inspect** the following evidence. (**O** = observation. **ID** = inspection of documentary product evidence. **IND** = inspection of non-documentary product evidence) A tick ✓ indicates that I wish the person named to be present. Where I have not specified a name, a tick ✓ indicates that any one assessor or candidate involved with that particular assessment should be present.

Trainer/Assessor's name	✓	Candidate's name	✓	Qualification no.	Unit	O/ID/IND

Signature of external verifier*/
quality inspector*

Date

(*Delete as applicable)

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Visit report – verification

Form CGI/EVR



Edition 3

Name of centre _____	Centre no. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/>
Address visited – main*/satellite*/subcentre* (*Delete as appropriate) _____	

Country _____	
Name of assessment manager*/internal verifier* (*Delete as appropriate) _____	
Name of external verifier _____	

1.1 Centre performance (to be completed at end of the visit)

Having reviewed the evidence you have seen during this visit, please tick ✓ the appropriate boxes to indicate whether you consider the centre satisfies City & Guilds' requirements overall regarding the following areas of operation.

	Yes	No		Yes	No
Management and administrative systems	<input type="checkbox"/>	<input type="checkbox"/>	Physical and staff resources	<input type="checkbox"/>	<input type="checkbox"/>
Assessment	<input type="checkbox"/>	<input type="checkbox"/>	Quality assurance	<input type="checkbox"/>	<input type="checkbox"/>

In view of this centre's overall performance, do you recommend that centre approval be continued*/suspended*/withdrawn*? (*Delete as appropriate. Show report section no(s) if recommending suspension or withdrawal.)

Section no(s): _____

1.2 Qualification performance (to be completed at end of the visit)

Having reviewed the centre's performance for qualification(s) for which you are an external verifier at this centre, please make your recommendations. (Please tick ✓ the appropriate box(es). Show report section no(s) which will explain your reason(s) for making recommendation(s) to withdraw approval or withhold certification.)

Approval should continue for the qualification(s) covered by this report (listed in Section 6 Qualification status)				Yes	No
				<input type="checkbox"/>	<input type="checkbox"/>
If no, please show below the qualification(s) for which you recommend action be taken (Approval and certification to continue for all others)					
Qualification title	Qualification no(s).	Approval to continue; withhold certification	Approval to be withdrawn	Report section no(s).	

Nature of this visit: Routine Additional 1st after approval Duration of visit _____ hours

Date of visit _____ Date of last visit _____ Next visit due _____ Nature: Routine*/Additional*
 (*Delete as appropriate)

Signature of external verifier _____ Date _____ No. of action plans produced _____

White copy – local office*/City & Guilds*, 1 Giltspur Street, London EC1A 9DD. Yellow copy – centre.
 Pink copy – visiting verifier. Green copy – as directed. (*Delete as appropriate.)

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2 Changes to centre information

Yes No

Have there been any changes affecting the information submitted on the applications for centre and/or qualification approval or previous approval application updates (Forms CGI/CAP, CGI/QAP and CGI/APU)?

If yes, please ensure the centre notifies City & Guilds head office*/local office*, using Form CGI/APU, and provides a copy for your records. (*Delete as appropriate)

3 Previous action plan

Yes No

At the end of the last verification visit was the centre given an action plan?

If yes, please tick ✓ the appropriate boxes to indicate whether the centre has implemented the previous action plan with reference to the areas of operation listed below. **Please provide comments.**

3.1 Management and administrative systems	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3.2 Physical and staff resources	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3.3 Assessment	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3.4 Quality assurance	Yes <input type="checkbox"/>	No <input type="checkbox"/>

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4 Management and administrative systems

Please tick ✓ the appropriate boxes to indicate whether the centre has met all City & Guilds' requirements. **Please provide comments.**

Please confirm	Yes	No
4.1 there is an effective communication system between all levels of staff and in all directions (including satellites, placements, peripatetic staff)	<input type="checkbox"/>	<input type="checkbox"/>
4.2 assessment is mostly at the main site	<input type="checkbox"/>	<input type="checkbox"/>
in satellites	<input type="checkbox"/>	<input type="checkbox"/>
in the workplace	<input type="checkbox"/>	<input type="checkbox"/>
4.3 assessors are mostly based at the main site or satellite(s)	<input type="checkbox"/>	<input type="checkbox"/>
work based	<input type="checkbox"/>	<input type="checkbox"/>
4.4 there are complete and up-to-date records showing judgements of evidence, assessment decisions and candidate records	<input type="checkbox"/>	<input type="checkbox"/>
4.5 information is stored securely and disclosed only to those who have a right to it	<input type="checkbox"/>	<input type="checkbox"/>
4.6 records required by you were available	<input type="checkbox"/>	<input type="checkbox"/>
4.7 an appeals procedures that candidates understand is issued	<input type="checkbox"/>	<input type="checkbox"/>

5 Physical and staff resources

Please tick ✓ the appropriate boxes to indicate whether the centre has met all City & Guilds' requirements. **Please provide comments.**

Please confirm	Yes	No
5.1 equipment, software (if appropriate), procedures and accommodation are sufficient, suitable, appear safe and are fit for use, including GOLLA requirements	<input type="checkbox"/>	<input type="checkbox"/>
5.2 induction materials for new assessors are adequate	<input type="checkbox"/>	<input type="checkbox"/>
5.3 the qualification(s) is/are adequately staffed	<input type="checkbox"/>	<input type="checkbox"/>

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5 Physical and staff resources (continued)

Please confirm	Yes	No
5.4 assessors are occupationally competent	<input type="checkbox"/>	<input type="checkbox"/>
5.5 assessors hold City & Guilds 1106 – 110 or acceptable equivalent	<input type="checkbox"/>	<input type="checkbox"/>
5.6 assessors have all necessary City & Guilds qualification and assessment documentation.	<input type="checkbox"/>	<input type="checkbox"/>

6 Qualification status

Please provide the following information for each qualification for which you have examined evidence during this visit and which is covered by this report.

Qualification title	Qualification no.	Total no. of assessors for this qualification	No. of assessors you met on this visit	Total no. of candidates working for this qualification	No. of candidates you interviewed on this visit

7 Training delivery

Qualification title	Qualification no.	Name of trainer	Outcome	PC met	PC not met

8 Observed assessments

Your sampling strategy must include observation of assessment on **every** visit unless the qualification is based on written assignments only. Please record details below. Use continuation sheet(s) if necessary.

If you have used continuation sheets, please show the number of additional pages you have used.

Sample reference	1	2	3	4
Candidate name				
Candidate registration no.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Qualification no.				
Name of assessor				
Where assessment took place				
Unit and P.C. ref. nos.				
Overall, do you agree with the assessor's decision?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

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Please tick ✓ the appropriate boxes to indicate whether you are satisfied that assessment is carried out in accordance with the qualification requirements. **Please provide comments.** Instances of unsatisfactory assessment practice should be noted in relation to sample reference numbers 1 – 4 and relevant sequential numbering if continuation sheet(s) has/have been used.

Prior to the assessment, had each assessor in the sample	Yes	No
8.1 ensured that facilities, resources and information required for the assessment were available and ready for use	<input type="checkbox"/>	<input type="checkbox"/>
8.2 ensured that an assessment plan according to qualification requirements had been developed for each candidate/group of candidates?	<input type="checkbox"/>	<input type="checkbox"/>
During the assessment, did each assessor in the sample	Yes	No
8.3 conduct the assessment unobtrusively, where appropriate	<input type="checkbox"/>	<input type="checkbox"/>
8.4 assess knowledge and skills appropriate to the qualification	<input type="checkbox"/>	<input type="checkbox"/>
8.5 ask questions in an encouraging tone and manner without leading the candidate?	<input type="checkbox"/>	<input type="checkbox"/>
After the assessment, did each assessor in the sample	Yes	No
8.6 clarify and resolve any inconsistencies in the evidence, inform the candidate of the assessment decision and provide feedback which was clear, constructive, met the candidate's needs and was appropriate to his/her level of confidence	<input type="checkbox"/>	<input type="checkbox"/>
8.7 encourage the candidate to seek clarification and advice on the assessment decision	<input type="checkbox"/>	<input type="checkbox"/>
8.8 complete an assessment record for each candidate?	<input type="checkbox"/>	<input type="checkbox"/>
Could each assessor in the sample satisfactorily explain to you	Yes	No
8.9 the action s/he would have taken if difficulties in judging the evidence had been experienced	<input type="checkbox"/>	<input type="checkbox"/>
8.10 the procedure for passing records to the next stage of the recording/certification process?	<input type="checkbox"/>	<input type="checkbox"/>

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9 Documentary and/or product evidence inspected

Please record below details of the evidence you inspected as part of the sampling process. Use continuation sheet(s) if necessary.

If you have used continuation sheets, please show the number of additional pages you have used.

Sample reference	1	2	3	4
Candidate name				
Candidate registration no.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Qualification no.				
Name of assessor				
Where assessment took place				
Type of evidence assessed				
Unit and P.C. ref. nos.				
Overall, do you agree with the assessor's decision?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Please tick ✓ the appropriate boxes to indicate whether the evidence you inspected had been satisfactorily assessed and recorded.

Please provide comments. Instances of unsatisfactory assessment practice should be noted in relation to sample reference numbers 1 – 4 above and relevant sequential numbering if continuation sheet(s) has/have been used.

Had each assessor in the sample ensured that candidates' evidence	Yes	No
9.1 had been recorded in such a way as to indicate that all the qualification requirements had been covered and that underpinning knowledge had been assessed	<input type="checkbox"/>	<input type="checkbox"/>
9.2 was valid, authentic, current and sufficient to demonstrate that the candidate could perform consistently to the standards/other specified requirements?	<input type="checkbox"/>	<input type="checkbox"/>

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10 Quality assurance

Please tick ✓ the appropriate boxes to indicate whether the centre has demonstrated it satisfies City & Guilds' requirements. **Please provide comments.**

Has your review of the quality assurance systems confirmed	Yes	No
10.1 only people eligible in accordance with City & Guilds' requirements practice as assessors	<input type="checkbox"/>	<input type="checkbox"/>
10.2 IVs hold City & Guilds 1106 – 111 or acceptable equivalent	<input type="checkbox"/>	<input type="checkbox"/>
10.3 assessors are kept updated on and have access to all relevant City & Guilds' documentation and support materials	<input type="checkbox"/>	<input type="checkbox"/>
10.4 there is an effective system for tracking assessment	<input type="checkbox"/>	<input type="checkbox"/>
10.5 there is an effective system for the internal verifier to sample judgements of evidence and assessment decisions against the qualification requirements	<input type="checkbox"/>	<input type="checkbox"/>
10.6 assessors have relevant support from the internal verifier to achieve consistency in assessment and accurate advice on the use of different types of evidence	<input type="checkbox"/>	<input type="checkbox"/>
10.7 there are adequate opportunities for assessors and other relevant team members to meet and discuss assessment and quality assurance issues.	<input type="checkbox"/>	<input type="checkbox"/>

11 Additional comments

Please record any general comments you wish to make regarding this centre.

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12 Action plan for centre [] of [] action plans prepared

Centre no. _____

Qualification no(s). _____

Please note any follow-up action required and the date by which such action should be taken.

Action required	By when
12.1 Management and administrative systems	
12.2 Physical and staff resources	
12.3 Assessment	
12.4 Quality assurance	

I agree with the content of this report and accept on behalf of this centre the external verifier's recommendations.

Name *(Please print)* _____

Position held _____

Signature _____

Date _____

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**13 Action for external verifier/City & Guilds head office/
local office**

Centre no. _____

Qualification no(s). _____

Please note any follow-up action that is required either by yourself or by City & Guilds head office/local office.

Action required	By when
13.1 External verifier	
13.2 City & Guilds head office*/local office* <i>(*Please delete as appropriate)</i>	

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12 Access and equal opportunities

12.1 Access and fair assessment

City & Guilds is committed to equality of opportunity and fair access to assessment for our programmes. (See section 12.7) We define these as follows:

- **Access** is referred to as the access by the candidate to the range of assessment opportunities needed to satisfy the requirements of the qualification standards.
- **Fair assessment** refers to the fair treatment of all candidates so that they are afforded the best opportunity to demonstrate their competence.

The diversity of candidates for whom access and fair assessments may be applicable is extensive. For example, some key groups may be:

- women and lone parents
- physically disabled people
- people with learning difficulties
- people from ethnic minorities
- ex-offenders
- people needing help with
 - literacy/numeracy
 - English for speakers of other languages
 - behavioural difficulties.

12.2 Organisational commitment to equality and fair access

We make it a requirement that all centres seeking approval to offer City & Guilds awards have a commitment to equality of opportunity. This starts at the top with the full commitment of management. All prospective centres need to submit their equal opportunities policy for consideration for centre approval. We also require evidence of how (and what) information and guidance on equal opportunities is provided to candidates, staff and work providers. Centres should also record data as evidence of how they are effectively implementing their equal opportunity policy (eg candidate recruitment data).

12.3 Staff awareness, expertise and involvement

All staff involved in recruitment of candidates, training, assessment and support should be aware of the organisation's equal opportunities policy. Staff should actively seek to implement this in the context of meeting the training, vocational and assessment needs of candidates. Staff training should be constantly reviewed to focus on effectiveness of equal opportunities and special training and assessment needs. The following are some points of which centre staff should be aware:

- all available training and enterprise options should be taken into consideration for all candidates
- all candidates should be considered for non-traditional occupational areas. However, the wishes of the individual must remain paramount
- members of particular groups should not be automatically directed towards placements or projects on the grounds that they will be with others from the same group

- staff should concentrate on the candidates' skills – on what they can do, or could do given the appropriate support – then ensure they understand their full range of options
- staff should ensure procedures allow clients to express their wishes and capabilities – for example, through interviews with candidates in their mother tongue, or with deaf people through signing.

12.4 Support and counselling of candidates

At a preliminary stage the centre will be involved in the initial assessment of the candidate to identify their aspirations, experiences, and training needs. A detailed and objective assessment is vital at this stage in order to enable both the trainee/candidate and training provider/assessor to make informed choices about appropriate provision. Making the right choices at this stage enhances candidates' commitment to the programme with less likelihood of premature 'dropping out'.

The following are some important points which should be considered when carrying out an initial assessment of the training needs of individuals. Centres should

- explain the reason for the assessment and how it will be used. It is not a pass/fail test – emphasise how it will help identify the training which is right for them
- create opportunities for 'work tasters' to help individuals to discover their aptitudes and preferences if they are not sure of what they want to do
- use trained and qualified staff for the initial training-needs assessment and counselling processes. Sometimes this will require personnel with specialist skills eg for people with learning difficulties
- take care in the use of ready made tests for IQ, aptitude or psychometric analysis as specialist, trained staff need to be involved in the implementation of such tests
- be aware that initial assessment can be prone to cultural bias which can result in indirect discrimination
- review practices and devices at regular intervals to ensure they remain relevant to the training, assessment, and occupation for which they are used.

12.5 Access to new technology for training and employment

Increasing advances in technology means that a variety of resources are becoming available to candidates to overcome any barriers which exist within training and employment. The increasing computerisation within the workplace means that tasks which previously required mobility or manual dexterity can readily be carried out as desk-based operations. Speech-recognition software allows a candidate with visual impairment to input data through speech as opposed to the use of the keyboard. Tasks which may have previously required commuting to an office may now be undertaken remotely (eg at home). Data networks allow an individual to access data which previously may have been housed in another office. This means that technology exists which allows candidates to undertake work without the physical requirements of actions such as filing, walking and climbing stairs and manually retrieving documents.

Employers and training-providers should consider the variety of technologies which can be incorporated into their operation to enable a wider spectrum of people to access employment and training. This includes use of electronic facsimiles and faxes, adapted telephones, optical character recognition (OCE), Braille keyboards, Braille printers, speech synthesisers, voice recognition and personal electronic communicators (for people with speech impairment). Devices also exist for individuals with motor disability to operate computers with head, tongue, chin, light-beams and pneumatic mechanisms.

High tech equipment may be one answer to enabling wider access but some centres have used imaginative low-cost innovations to create an environment where individuals with some impairment may operate. For example, the use of Braille markings on keyboards and other parts of a computer, Braille markings to identify different sections of a filing-cabinet and other areas (eg Braille printers) may facilitate considerably a person with visual-impairment. At other times the offering of physical-assistance by neighbouring colleagues may go a long way in facilitating the effective functioning of an individual without compromising their contribution.

12.6 Equal quality and rigour of assessment for all

Whilst the promotion of access and fair assessment is an obligation of all parties involved in the implementation of City & Guilds programmes, ultimately the candidate is being assessed against specified standards. Thus, it is acceptable that different approaches and support should be provided to allow each candidate to demonstrate their competence, but at the same time the assessor must bear in mind that the proposed assessment methods are of equal quality and rigour to those for mainstream candidates.

12.7 City & Guilds access to assessment policies

We have printed on the following pages copies of our two policy documents:

- Access to assessment – equal opportunities
- Access to assessment – candidates with particular requirements.

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.

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.

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.

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.

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 and awards are developed to the 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 awards. Issues relating to the standards therefore need to be referred to the appropriate responsible body.

Variation of assessment arrangements

Assessment arrangements may be varied however, 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 non-scheduled assessments must be locally agreed between the centre and City & Guilds' external verifier in accordance with the programme documents under the general responsibility of City & Guilds.

For further information, please refer to the City & Guilds document *Access to assessment and qualifications*, available from:

Publications Sales
City & Guilds
1 Giltspur Street
London
EC1A 9DD

13 Reviews, appeals, complaints and infringement of rules

13.1 Introduction

We always aim to establish excellent working relationships with our centres and candidates. However, there are a number of possible situations where disputes may arise and that may involve a City & Guilds decision, by a

- centre, concerning centre or qualification approval (including its withdrawal or suspension), certification status, or acting on behalf of a candidate concerning an assessment (set and marked question papers) result
- registered candidate against a centre-based assessment towards a competence-based qualification
- registered candidate about aspects of their course or centre
- registered candidate or centre against a service provided by City & Guilds.

We have separate policies and processes for dealing with reviews, appeals and complaints. The most up-to-date information may be obtained, together with additional documentation and leaflets, from

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

Direct line: +44 (0)20 7294 3505
Facsimile: +44 (0)20 7294 2425
E-mail: international@cityandguilds.com

13.2 Reviews

An investigation is carried out on every appeal and complaint that is submitted to City & Guilds. In the case of the first two categories above the review forms part of a three stage review, appeals and complaints against assessments policy and process.

13.3 Appeals

13.3.1 Appeals against centres

In the case of the second category above, a registered candidate who wishes to complain about a centre-based assessment towards a competence-based qualification, or about aspects of their course or centre, must in the first instance apply to the centre and complete its own complaints and appeal process.

13.3.2 Unresolved appeals

Whilst all appeals are normally resolved at the review stage, centres and candidates who do not feel that their appeal has been satisfactorily resolved have the right to take their appeal to the Group Appeals Board. Candidates who feel that their appeal is still not resolved at the second stage can next choose to submit their case to an independent Appeals Tribunal (please refer to *Your right to appeal – candidates and Your right to appeal – centres* leaflets).

13.3.3 Appeals against results from set and marked question papers

Appeals arising from examination results should be made in writing within six months of receiving the results to:

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

The letter submitted should include:

- the name and number of the centre
- the name(s), enrolment number(s) and date(s) of birth of the candidate(s)
- the qualification name and number
- the complex number and component number of the qualification
- the processing period/year or exact date of the examination.

A fee will be charged for this service. A full refund of fees will be made where a candidate's appeal is upheld.

13.4 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 both candidates and 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.

13.5 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.

13.6 Appeals and complaints procedures

The following documents are included in this section

Appeals procedures – a centre's guide
Complaints procedures – a centre's guide.

Appeals procedures – a centre’s guide

Introduction

Centres are required as a condition of approval to agree and operate an appeals procedure which candidates can use in the event that they wish to challenge an assessment decision. (See section 3.12, centre approval criteria C7.)

The appeals procedures must allow candidates who are registered at the centre to challenge the outcomes of their assessment at the level of a practical component if they consider that the assessment has not been carried out properly. Candidates might appeal on a variety of grounds including, for example the

- conduct of the assessment
- adequacy of the range, nature and comprehensiveness of the evidence when set against the standards and evidence requirements of the qualification
- adequacy of the opportunities offered in order to demonstrate competence or attainment.

The outcomes of the appeal may be

- confirmation of the original decision
- instructions that the competence/attainment be reassessed by the same or a different assessor/tutor
- a judgement that the evidence/work presented is an adequate demonstration of competence/attainment and a recommendation that the assessment decision be reconsidered.

Implementation

Many centres will adapt existing appeals mechanisms for City & Guilds programme purposes but for others the establishment of a formal appeals procedure will be a new exercise.

The appeals procedure 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.

Example of procedure

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

The candidate

If a candidate wishes to appeal, the appeal is lodged with the assessment manager within 20 days of the candidate being notified of the assessment decision.

The centre

The centre should provide a system to support those making the complaint. The appeal documentation should be as simple as possible and should preferably include a pre-printed form for the candidate to complete with a post-paid envelope addressed to the centre.

The centre must be able to demonstrate that it can set up an appeals panel which is objective and independent.

The assessment manager

- attempts to find a solution with the candidate, assessor/tutor, internal verifier concerned; for example by arranging another assessment or re-consideration of the evidence/work
- if the dispute is unresolved, sets a date for the appeal to be considered by the appeals panel
- notifies the external verifier 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

- should meet to consider the appeal within 20 working days of the assessment manager receiving the appeal
- should be small and constituted so as to be objective and independent
- should ensure that it has full accounts from all parties involved in the assessment
- should ensure no one involved in the original assessment is on the panel.

Complaints procedure – a centre's guide

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.

Candidates

Candidates could complain to the centre about the following areas:

- access to assessment
- process of assessment
- access to internal verification
- the handling of an appeal
- administrative issues, eg failure to register/apply for certification.

Assessors/tutors

Assessors/tutors could complain to the centre about the following areas:

- access to support and guidance
- access to internal verification
- administrative issues
- insufficient time to undertake the function.

Internal verifiers

Internal verifiers could complain to the centre about the following areas:

- access to support and guidance
- insufficient time to undertake the function.

Implementation

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

The complaints procedure 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.

The complainant

If an individual wishes to complain, the complaint should be lodged with the assessment manager within 20 days of the assessment decision or the issue arising.

The centre

- should provide a system to support those making the complaint. The complaint documentation should be as simple as possible and should preferably include a pre-printed form for the complainant to complete with a post-paid envelope addressed to the centre
- must be able to demonstrate that it can set up an appeals panel which is objective and independent

The assessment manager

- attempts to find a solution with the individuals concerned
- if the complaint is unresolved, sets a date for the complaint to be considered by the complaints panel
- if applicable, notifies the external verifier 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

- the panel should meet to consider the appeal within 20 working days of the assessment manager receiving the complaint
- the 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
- no one involved in the original issue should be on the panel to ensure an objective viewpoint.

Appendix 1

City & Guilds contact details

London Hub Office

Areas of responsibility

Europe, Middle East, America, Caribbean, Russia

1 Giltspur Street
London EC1A 9DD
United Kingdom

www.cityandguilds.com/international

Our aim is to be easily accessible to our customers and to deal as quickly as possible with any queries, so we are listing below the departments which may be able to help you.

Customer Relations

If you want general help or advice on any City & Guilds international product, centre approval process or service, please contact this unit

T +44 (0) 20 7294 2885
F +44 (0) 20 7294 2413
info@cityandguilds.com

Results Processing Department

Please contact this unit if you have any enquiries about your registrations, entries for examinations or certification

T +44 (0) 20 7294 2885
F +44 (0) 20 7294 2413
intops@cityandguilds.com

For **Business Support Skills** (single subjects) queries please contact

T +44 (0) 20 7294 8080
F +44 (0) 20 7294 2403
singlesubjects@cityandguilds.com

Records and replacements – Archive services

For enquiries relating to the equivalence of City & Guilds awards and request for past syllabuses and old question papers

T +44 (0) 20 7294 2789
archiveservices@cityandguilds.com

Finance enquiries

If you have any invoice queries please contact

T +44 (0) 20 7294 8182
F +44 (0) 20 7294 3534
financesupport@cityandguilds.com

Publication Sales

Requests for information about publications or enquiries about orders should be addressed to this department

T +44 (0) 20 7294 2850
F +44 (0) 20 7294 3387
intcg@cityandguilds.com

Quality & Excellence

Queries about centre or qualification approval, following application submission, external verification or any other issues relating to quality assurance should be addressed to this department.

T +44 (0) 20 7294 3072/3041
F +44 (0) 20 7294 3502
info@cityandguilds.com

Branch Office

Eastern Europe Branch Office

Areas of responsibility

Hungary, Slovakia, Czech Republic, Romania, Ukraine, Slovenia, Croatia, Serbia & Montenegro, Moldova, Italy, Poland, Russia, Bulgaria, Greece, Malta and Turkey

Country Manager
City & Guilds
H-1071 Budapest
54 Dembinsky Street

HUNGARY

T +361 413 1301
F +361 413 1302
info@cityandguilds.hu

Business development and customer support Ireland

Areas of responsibility

Ireland

Business Development Manager

City & Guilds International
DMG Business Centre
12 Camden Row
Dublin 8

IRELAND

T +353 1 405 2020
F +353 1 405 2021
eire@cityandguilds.com

UAE United Arab Emirates

Areas of responsibility

Oman, UAE, Qatar, Bahrain, Kuwait, Saudi Arabia

Business Development Manager
City & Guilds International
PO Box 502221
Dubai
UAE
T +971 4 390 2334
F +971 4 366 4588
gulfregionaloffice@cityandguilds.com

Jamaica

Marva Duncanson
6 Hope Road
Kingston 10, Jamaica
West Indies
T + 1 876 906 7630
F + 1 876 754 7873
marva.duncanson@cityandguilds.com

Please visit our website for the latest contact details:
www.cityandguilds.com/international

Africa Hub Office

Areas of responsibility
All countries on Africa continent

City & Guilds Intl Ltd.
4 Carse O’Gowrie Street
2nd Floor Milnor Place
Parktown, Johannesburg
Johannesburg 2192
SOUTH AFRICA

Branch Offices

Southern Africa Branch Office

Areas of responsibility
South Africa, Namibia, Lesotho, Swaziland, Zimbabwe, Botswana

Country Manager
4 Carse O’Gowrie Street
2nd Floor Milnor Place
Parktown, Johannesburg
Johannesburg 2192
SOUTH AFRICA
T + 27 11 544 4660
F + 27 11 484 5469
info@cguilds.co.za

East Africa Branch Office

Areas of responsibility
Kenya, Uganda, Tanzania, Mauritius, Seychelles, Rwanda, Ethiopia, Zambia, Malawi, Sudan

Country Manager
City & Guilds
4th Floor, IPS Building, PO Box 46038
Kimathi Street
Nairobi 00100
KENYA
T + 25420 2223 992
F + 25420 2228 358
marketing@city-and-guilds-intl.org
enquiries@city-and-guilds-intl.org

Business development and customer support Ghana

Areas of responsibility
Ghana, Nigeria, Sierra Leone, Togo, Cameroon, The Gambia

Regional Representative
City & Guilds
Kokomlemlé 3
Mensah Sarbah Road
Accra
Ghana
T + 233 244 053 984
westafrica@cityandguilds.com

Please visit our website for the latest contact details:
www.cityandguilds.com/international

Asia Hub Office

*Areas of responsibility
Asia and Australasia*

City & Guilds International Ltd
331 North Bridge Rd
Odean Towers
Singapore 188720

**Please visit our website for latest details
www.cityandguilds.com/international**

Branch Offices

South China Branch Office

*Areas of Responsibility
Hong Kong, South China, Macau, Taiwan, South Korea,
Philippines*

Country Manager
City & Guilds
Room B03-5, 13th Floor Tai Yau Building
181 Johnston Road
Wanchai

HONG KONG

T + 852 2832 5833
F + 852 2832 9961

China Branch Office

*Areas of responsibility
Mainland China*

Country Manager
Suite 1807/1808 (P)
Shanghai Kerry Centre
1515 Nanjing Road (West)
Shanghai 200 040

CHINA

T 00 86 21 52 98 6611
F 00 86 21 52 98 5899
cgi_pit@online.sh.cn

Malaysia and the South East Asia Branch Office

*Areas of responsibility
Brunei, Malaysia, Singapore, Vietnam, Indonesia, Thailand,
Myanmar*

Branch Manager
City & Guilds
Lot 3.03 Level 3
Bangunan TH
Uptown 3, No 3 Jalan
SS21/39

Damansara utama
47400 Petaling Jaya
Selangor Darul Ehsan

WEST MALAYSIA

T + 603 7665 8305/7
F + 603 7665 8306
enquiries@cityandguilds.com.my

India Branch Office

*Areas of responsibility
South Asia, India, Sri Lanka, Bangladesh*

Country Manager
City & Guilds (South Asia) Pvt Ltd
12th Floor, Unit 1206
Tower 'B'
Signature Towers
South City – 122001
Gurgaon, Haryana
New Delhi 122001

INDIA

T + 91 124 408 3921-26
F + 91 124 408 3928
info@city-and-guilds.co.in

Sri Lanka International office

*Area of responsibility
Sri Lanka*

Country Manager
City & Guilds – Sri Lanka
Level 6, Access Tower
278, Union Place,
Colombo 02

SRI LANKA

T + 94 11 5361 427/8
F + 94 11 2314 941
srilanka@cityandguilds.lk

**Please visit our website for the latest contact details:
www.cityandguilds.com/international**

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CUSTOMER CHARTER

VERSION 4 – DECEMBER 2008

Our vision

To enable people and organisations to develop their skills for personal and economic growth

Our values

Acting with integrity
Being innovative
Engaging with others
Striving for excellence
Achieving fulfilment

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

Communication – listen to your requests and respond positively to them.

We will answer your telephone calls courteously, promptly and knowledgeably.

We will aim to resolve your enquiries to your satisfaction the first time they are raised with us.

We will reduce the average call waiting time to 1 minute 30 seconds by April 2009.

We will acknowledge your correspondence (letters, faxes and complaints) within four working days of receipt and answer within 12 working days, by April 2009.

We will answer 80% of your emails within four days by April 2009.

We will resolve 84% of your complaints, or you will receive an outlined action plan, within 12 working days of receipt, by April 2009.

Processing your orders and requests

We will provide an approval decision, in relation to centre and/or qualification approval, within 30 working days of receipt of a completed application.

We will process and action your external verification report within 10 working days of the date of the visit/activity.*

We will provide an appeals decision against your results or centre/qualification approval status within 32 working days of receipt.

We will provide question papers and examination-related materials 10 working days before the examination is held, if this entry has been made on time.

We will provide a service to replace certificates in excess of six months old via our website (a search fee will be incurred).

We will produce publicity leaflets, information and materials that are up-to-date and in a language that is easily understood. City & Guilds is committed to providing assessment material according to demand in Welsh and Irish, and requests for materials in other languages will be considered.

A full list of candidate fees can be found in our catalogue, and our additional charges list can be found on the website.

For Charter Statements relating to the rest of the Group visit the websites of:

ILM
NPTC
HAB

For further queries contact Customer Relations 020 7294 2800

www.cityandguilds.com

Please note

This Customer Charter has been developed for City & Guilds approved centres in the UK and internationally.

Publications, results and certificates measurements are currently under review and will be made available in three to six months' time.

*This statement applies to UK centres only and timescales may vary for international centres.

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Appendix 3

Data protection

The Data Protection Notice

Centres must ensure when collecting personal data from data subjects that the data subjects are aware of what will be done with the personal data they provide. In the UK, this should be done using a 'data protection notice' to be provided to the data subjects at the time the personal data is collected from them. The section 'Form of Data Protection Notice' at the end of this document contains an example of a data protection notice, by way of illustration only. However, **centres outside the UK must ensure that they comply with the relevant national legislation and regulations and where appropriate use a similar form of notice. It is the centre's sole responsibility to ensure that the notice(s) it uses are at all times accurate and compliant with all relevant data protection laws.** In the UK, the Data Protection Act 1998 ('Act') requires that centres allow data subjects to prevent centres from processing their personal data for direct marketing purposes; this is usually done by data subjects ticking a box on the data protection notice if they want to 'opt in' to this type of marketing. The Act also stipulates that centres must obtain the explicit consent of data subjects where they collect sensitive personal data. As these are obligations imposed by law, City & Guilds expects and assumes that centres will obtain the 'opt in' for direct marketing by email to data subjects and will have obtained explicit consent to processing sensitive personal data where appropriate. Similar provisions exist in relevant national legislation and regulations and centres must ensure that they are in strict compliance with such provisions. If appropriate, City & Guilds may require centres to provide and demonstrate the relevant opt ins and consents given by data subjects.

Processing of Personal Data

City & Guilds also expects centres to state in their data protection notice (or the equivalent in the centres' respective jurisdictions) that City & Guilds and its agents may use or otherwise process personal data and sensitive personal data supplied to it by centres, so as to enable it to:

- fulfil its contractual responsibilities to centres and to enable centres to fulfil their contractual obligations to candidates;
- provide centres with details of City & Guilds' ongoing products and services;

In relation to a centre's employees:

- contact them directly in relation to City & Guilds centre accreditation, quality control purposes undertaken by City & Guilds, and/or informing 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 accreditation, qualifications, services, quality control purposes undertaken by City & Guilds, and/or informing them of products or services offered by City & Guilds or selected third parties;
- carry out statistical analysis, which may be carried out by City & Guilds or selected third parties;
- give 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. For example, this would be for the purposes of:
 - ensuring they can monitor equal opportunities relating to ethnicity or disability; or other such monitoring purposes; or
 - accounting for candidates where there is a requirement to do so; or
 - enabling authorised bodies to contact a candidate directly where the information is not readily accessible by other means;
 - disclosing personal data relating to candidates to regulatory and industry bodies or other selected third parties solely for the purposes of providing prizes, remuneration, and/or awards for candidates.

It may also be necessary for City & Guilds to transfer the personal data outside of the European Economic Area (the 'EEA') subject to City & Guilds using all reasonable efforts to ensure that any such transferred data is afforded the same necessary protection as if it were being processed within the EEA. Centres should ensure that any data protection notice (or equivalent) contains a statement that individuals consent to such transfers being made by City & Guilds.

Ongoing Obligations to City & Guilds

Centres must ensure that the personal data and sensitive personal data they hold is accurate and up to date. On a regular basis, centres should therefore update their records and notify City & Guilds, starting from when the centre accreditation was given, at least once a quarter:

- if there is any change or correction to any personal data or sensitive personal data which was previously disclosed to City & Guilds;
- if centres delete or otherwise archive any personal data or sensitive personal data relating to a data subject in respect of whom City & Guilds also has records from the centre; and
- if there is any exercise of an opt out or refusal of processing by a data subject.

Centres should note that they will be responsible to City & Guilds for any loss it may suffer because of a centre's failure to ensure compliance with this requirement or any of the obligations set out in this Data Protection section.

It is a requirement of the Act that City & Guilds will maintain up to date and accurate records and centres should note that they will be held responsible for inaccuracies or out of date information provided to City & Guilds.

Form 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 their 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 for employees than as required for candidates. Please review the following notice with caution and, where necessary, obtain advice prior to using your 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 and we may request further information from third parties or disclose your details to other selected third parties, such as City & Guilds or its regulators or industry bodies. We may from time to time send to you [or your company] by e-mail or by post details about products or courses which we believe may be of interest to you. If you would like to receive such information by email, please tick here. If you no longer require such information or you have provided us with any information that you no longer wish us to use, please contact us on the [telephone number] given below.

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 on our behalf;
- to third parties such as City & Guilds who may use your personal data or sensitive personal data (as appropriate) to:
 - enable us to fulfil our contractual obligations to you eg by providing you with an examination certificate;
 - contact you directly about forthcoming events, courses, or programmes;
 - carry out statistical analysis;
 - pass to its 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 the College; and
 - disclose your personal details to third parties for the purposes of providing prizes, remuneration and awards 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 may, however, tell us not to transfer your personal data outside the EEA although City & Guilds may not be able to meet its obligations to you as a result.

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. 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.

Conclusion

Data protection issues in relation to the transfer of personal data (or sensitive personal data) about candidates, employees etc. are of considerable importance to City & Guilds and all centres (whether inside or outside the EEA) are obliged to comply with the applicable national legislation and regulations. The above information is illustrative of the law within the UK and is similar to legislation applicable to centres within the EEA but all centres must ensure that they provide the necessary notices for the processing of personal data and obtain the necessary consents from the data subjects as required by the applicable legislation or regulations within their jurisdiction.

Appendix 4

Use of the City & Guilds trade mark and logo for centres

City & Guilds is a well known and respected name worldwide in vocational education and training and commands respect from candidates and employers alike.

City & Guilds encourages the proper use of its trade mark and logo by colleges, training providers and employers who deliver City & Guilds qualifications.

City & Guilds encourages active 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 or on the web, 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 mark or logo 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. To enable centres to access the City & Guilds Approved Centre logo more easily, there is now a separate e-mail address: international-logos@cityandguilds.com which will link them directly with staff in the International team at City & Guilds.

When centres contact City & Guilds on this address, certain eligibility checks will be made. For instance, new centres will be able to use the City & Guilds name and logo but will be expected to register candidates within three months of centre approval. In fairness to active centres, those that do not have an on-going commercial relationship with us will not be allowed to use the City & Guilds trade mark and logo.

In response to requests for the logo, centres will be sent the logo electronically in TIFF, JPEG or EPS format together with guidelines and the full Terms and Conditions. By using the logo, centres will be deemed to have agreed to the Terms and Conditions. They will be asked to send a copy for our records.

Staff in International at City & Guilds will be happy to offer guidance and support for centres wishing to use the City & Guilds logo. They should e-mail international-logos@cityandguilds.com.

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Appendix 5

General terms

The contract between a centre and City & Guilds consists of the centre's application forms for centre and qualification approval (and any updates). It requires that the centre complies with City & Guilds' policies, regulations, requirements, procedures and guidelines set out in the *Centre guide – Delivering international qualifications* and/or the relevant *International directory of examinations and assessments* issued by City & Guilds, 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 you nor we 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 (whether negligent or innocent) except those contained or referred to in the agreement neither of us has entered into it in reliance on any statement or representation
- 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.

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.

Appendix 6

GOLA guidelines

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.

Should GOLLA access be required, please contact your local sales office for information.

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