

## Centre Guidance for Centre Recognition

### 1 Form CR1

- 1.1 As an approved centre you will be responsible for delivering our regulated qualifications to the standards specified.
- 1.2 The Conditions of Recognition<sup>1</sup> require an awarding organisation to ensure centres:
- have adequate systems and physical and human resources in place to support the delivery and assessment of its qualifications;
  - fully understand the requirements of its qualification specifications, and the processes and procedures which support its quality assurance activities;
  - ensure that the interests of learners are protected at all times.
- 1.3 To this end our centre recognition and qualification approval processes set out to confirm a centre's ability to comply with these responsibilities.
- Section 1 of the CR1 application form must be completed when:
- centres apply for approval to run qualifications for the first time;
  - we require centres to update their organisational details;
  - we request existing centres to renew their approval.
- 1.4 For any queries relating to Centre Recognition or to arrange an advisory visit (subject to a fee), please email [centrerecognition@skillsedugroup.co.uk](mailto:centrerecognition@skillsedugroup.co.uk)
- 1.5 On completion of the CR1 you will be risk assessed to determine if an approval visit is required. Centres which are not already recognised to offer regulated qualifications by another awarding organisation will be considered high risk and will receive a visit from a Quality Assurance Moderator before recognition can be approved. A charge will be levied for a centre recognition visit. Please see the website for our current [fees](#).
- 1.6 International centres, or UK based centres with delivery locations abroad, must satisfy additional requirements to gain recognition. Please email [centrerecognition@skillsedugroup.co.uk](mailto:centrerecognition@skillsedugroup.co.uk)

The reference numbers below refer to the sections of form CR1 Centre Recognition

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<sup>1</sup> Ofqual in England; Qualifications Wales; CCEA in NI

## 1.1 Centre Details

- The organisation details given in this section should be those of the sole trader or legal entity as registered with UKRLP<sup>2</sup>, Companies House and/or the Charity Commission. This address may not necessarily be the address where qualifications will be delivered. Other sites should be listed in section 1.2.
- Centre Type: The centre type you choose should be the type which most accurately reflects your main provision and status as an organisation.

## 1.2 Additional Sites

- If the organisation address above is not the main site to which you wish us to correspond please give details of the alternative here. Any site(s) named will usually have the facility to independently manage and distribute information received from us.
- If you are a large centre you do not have to specify every delivery site in this section, only those which will be managing direct communications with us relating to enrolment, external assessment, external moderation and certification.
- If you are in partnership with an independent organisation which is responsible for any part of the delivery or assessment process you must also include the details of the partner here. We will expect to see an agreement in place between the two organisations which clearly states the respective responsibilities of each. We will nonetheless hold the approved centre ultimately responsible for any actions carried out by such an independent organisation.

## 1.3 – 1.7 Key Contacts

- Please provide named contacts for each section, including their contact details and the site(s) at which they are based. These key contacts will receive critical information to support the administration, delivery and assessment of our qualifications and will therefore be expected to disseminate this information internally to those that require it. They will also be approached directly if we encounter any issues at the centre which cannot be resolved at a local level.
- The person named as the main examinations officer will be deemed the general contact at the centre to whom all information will be sent in the absence of another named person. This person will be held responsible for

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<sup>2</sup> UKRLP (UK Register of Learning Providers) <http://www.ukrlp.co.uk/>

processing any passwords required for centre staff to access online systems. Please supply a generic email address for the exams team to ensure that all correspondence from us is received in the absence or change of the named contact person.

- Invoices will be issued to the Finance Office. You will be invoiced at the point of enrolling learners online and account holders will be responsible for ensuring their Finance Departments receive an authorised copy. Please supply a generic email address for the Finance team to ensure that all correspondence from us is received in the absence or change of the named contact person.
- Centres must keep us informed of any changes made to these key contacts after this initial approval.

## **1.8 References**

- We need to know that you are a recognised, credible educational provider.

### 1.8a OFSTED/QAA/Funding Agency Endorsement

You should include regulatory or inspection reports from any of the above.

## **OR**

### 1.8b Recognised Awarding Organisations with which you are currently approved.

- Please list here other awarding organisations with which you are currently approved to offer regulated qualifications. This list should only include awarding organisations recognised by one or more of the following Regulators:
  - Ofqual in England;
  - Qualifications Wales;
  - CCEA in NI;
  - QAA for Access to HE

Please attach your latest awarding organisation monitoring report with this application.

## **OR**

### 1.8c Other Endorsement

This may include a report from one of the following:

- IiP, ISO, EFQM or
- any other organisation, or a statement from a referee that can comment on your centre's quality assurance arrangements / credibility as a learning provider.

### **1.9 Give details of any previous applications for centre approval being refused, or your approval status being withdrawn**

Please list here any awarding organisations which have refused or withdrawn centre approval, giving the reasons and dates the action was taken. You must include any other organisation names under which you were previously known, and state the reasons for the action taken. Please note that awarding organisations share this information.

### **1.10 Quality Systems / Documents**

It is expected that centres applying for Centre Recognition will have all the documents listed below. It is the centre's responsibility to ensure that:

- policies and procedures are appropriate to the size and curriculum offer of the centre;
- policies and procedures are communicated to all staff and supported by the centre management structure;
- a system is in place for regular review and evaluation of centre policies and procedures;
- policies comply with awarding organisation policies and procedures.

#### **1.10.1 Organisation Chart**

This should include a diagram showing management functions / duties, illustrating clear lines of accountability. The name of the person responsible for each function and the job title must be included.

#### **1.10.2 Procedure for Internal Moderation / Verification (IQA)**

All centres are required to have a procedure indicating how internal moderation is carried out. For general guidance on IQA please refer to [Internal Quality Assurance of Qualifications](#)

- Internal moderation is the quality assurance process whereby samples of learner work are moderated to confirm the assessment decisions made are consistent across all assessors and meet the required standards. Completion of this process should ensure that the requirements of the qualifications are followed.

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- We do not allow assessors to internally moderate their own assessments. This process must be independent of any original assessment decisions made.
- Small centres with limited human resources could share this role with another small organisation. Any agreement with an independent Quality Assurer must clearly state the responsibilities required.
- Internal moderators must be fully aware of our [External Moderation Policy](#) and the requirements for Record Keeping.

#### 1.10.3 Procedures for managing Internal and External Assessment / Examinations and Invigilation.

- Internal assessors should be qualified to assess at least a level above that which they are assessing, and should have the appropriate qualifications and occupational expertise to assess competence based qualifications. For general guidance on the delivery and assessment of our qualifications please refer to [Delivering and Assessing Qualifications](#)
- Where appropriate centres should make themselves familiar with our [Instructions for the Conduct of Examinations and Other External Assessments](#) and state they will abide by them and any other qualification specific guidance relating to other forms of external assessment. Invigilators need to be aware of their role in respect of examination protocol and documentation. Centres need to be aware that they need secure storage for examination papers, and that they should have a named individual (usually an examinations officer) who will ensure appropriate access to papers / onscreen tests and despatch of candidate scripts to our examiners where required.

#### 1.10.4 Procedure for dealing with and reporting Malpractice / Maladministration

- Malpractice will be any acts of dishonesty or any practice that is wilfully negligent which compromises or threatens to compromise the validity of the assessment process and which brings our reputation or the reputation of our awards into disrepute.
- Maladministration will be any activity, neglect, failure or other practice that results in the centre or learner not complying with the specified requirements for the delivery and assessment of qualifications or units.
- Centres are required to have robust procedures in place for preventing and investigating incidents of malpractice or maladministration. Such investigations must be carried out in a fair,

- reasonable and legal manner, ensuring all relevant evidence is considered without bias. Due regard must be taken of the following:
  - Confidentiality;
  - Retention of records and documents;
  - Evidence storage;
  - Conclusions;
  - Sanctions.
- Centres must promptly notify us of any incidents in line with our policy and procedures for [malpractice and maladministration](#).
- Learners and centre staff need to be included in these procedures.

#### 1.10.5 Statement on Access to Assessment

- Centres must have on record a statement to say that they will provide an initial assessment of their learners to ensure that any disability or learning difficulty will not unfairly disadvantage them during the assessment process. Centres should be aware that it is their responsibility to provide certain adjustments for their learners during the delivery and internal assessment of qualifications. Requests for adjustments for externally set assessments must be made directly to us.
- Centres should be aware of our policy on [Access to Assessment](#) and our guide to [Applying for Special Arrangements](#) and will need to follow all procedures for making any such requests.

#### 1.10.6 Procedure for dealing with Complaints

Centres should show how they would handle complaints from learners and staff and include:

- appropriate timescales for dealing with them;
- method by which a complaint should be made;
- to whom an initial complaint should be made;
- right for the complainant to be supported by a representative;
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- next steps if the complaint is not resolved i.e. to whom the complaint is then referred;
- if still unresolved name an independent party who could make an independent judgement about the complaint.
- the right to complain to the awarding organisation if not satisfied with the outcome.

#### 1.10.7 Procedure for dealing with learner Enquiries and Appeals against Assessment Decisions

All centres must have an enquiries and appeals procedure available to learners to enable learners to appeal against assessment decisions.

For internal assessment decisions the centre's procedure should:

- identify the person with whom the learner should lodge an initial enquiry or appeal: this would usually be the learner's tutor or assessor;
- state the method by which an appeal should be made;
- if unresolved, state what the next steps should be: this should include submission to the person responsible for internal quality assurance;
- if still unresolved, state what the next steps should be: this may include submission to the Head of Department/Quality, or to other persons who are independent of the internal assessment decision making process;
- if the learner is still unhappy with the outcome, include procedures for referral to the awarding organisation; cf. our Enquiries and Appeals Policy;
- stipulate clear timelines for dealing with each step and retention of evidence.

For external assessment / moderation decisions the centre's procedure should:

- stipulate clear timelines to learners for making an appeal which takes into account the timescales published by us;
- state the method by which the appeal should be made.
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- Centres must ensure that learners are aware when and how they can enquire or appeal against assessment decisions made by centre assessors and/or our external moderators and examiners. Centres should refer to our policy on [Enquiries and Appeals](#) before submitting a request.

#### 1.10.8 Staff Recruitment, Induction and Development Policy / Statement

- Centres should confirm they will ensure that they have sufficient staff with the appropriate teaching and vocational qualifications / experience to deliver our qualifications, and that staff will be supported to maintain the currency of their experience and skills.
- Centres should show how they will ensure that staff keep up to date with sector and centre requirements. Some centres may wish to seek advice from the Small Business Advice Unit or the relevant Sector Body.

#### 1.10.9 Health and Safety Policy / Statement

- Centre policies should cover staff and learners and state who in the organisation is responsible for health and safety. Our statement on [Centre Health and Safety](#) indicates what a centre should have in place. There may also be subject specific requirements for health and safety outlined in the qualification guidance.
- Centres must indicate that they will ensure all premises (including hired sites) have appropriate Health and Safety provision for the delivery and assessment of qualifications.

#### 1.10.10 Equality and Diversity Policy / Statement

- Centres should show that they are clearly committed to supporting equality and diversity for learners by ensuring open access to qualifications and assessments irrespective of age, gender, ethnic origin, religious beliefs, employment status, nationality, sexual orientation, marital status or disability.
- Centres are advised to be conversant with the Equalities Act 2010 and their legal responsibilities.
- A centre policy should state:
  - Your values on equality and diversity (fairness) and how they will be put into practice;
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- What you expect from your learners and what in turn they can expect from you.

#### 1.10.11 Statement on Student Support

Centres should indicate what systems and processes are in place to support learners, and should include information on the following:

- Advice and guidance: how you inform learners about the qualification, including progression and employment routes and opportunities;
- Obtaining a ULN: where a learner chooses to have a unique learner number (ULN), you are able to obtain one on their behalf through the [Learning Records Service](#)
- Initial assessment: is this qualification the right one for this learner and will s/he be able to contribute to and successfully complete it?
- Credit transfer is the process of recognising credits already achieved which contribute to the rules of combination towards another credit-based qualification;
- Exemption: where the learner may have other certificated achievements which are deemed of equal value and can confirm assessment criteria have been met in full;
- RPL:<sup>3</sup> recognition of prior learning, where a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning;
- Induction: how is the learner inducted into the centre and onto the course?
- Ongoing learning support: for all learners including those with learning difficulties;
- A process to protect the interests of learners following any withdrawal from delivering a qualification either planned by the centre or if imposed as a sanction by us.

#### 1.10.12 Procedure for Quality Assurance Review of the Course

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<sup>3</sup> Cf. Delivering and Assessing Qualifications

- Centres should indicate that systems and processes are in place to review and evaluate courses/qualifications and their effectiveness.
- A review should include feedback from staff and learners. This may be recorded in staff and student surveys and / or minutes of meetings. Monitoring activity also includes the request for feedback from centre staff and learners.
- Centres which are essentially single-person operations should also go through a process of evaluation and use feedback from learners to support this process.

#### 1.10.13 Data Protection Policy / Statement and Privacy Notice.

- Data Protection is a legal requirement to handle personal data properly and securely.
- Centres should be aware of the eight Data Protection Principles (“the Principles”), sometimes referred to as the Principles of “good information handling” with which Data Controllers are required to comply. Cf. [Information Commissioner's Office](#).
- Privacy Notice (PN) (Fair Processing Notice): these notices are the means by which learners are informed about what will happen to the data collected about them, and furthermore, how that data will be processed and shared. You will need to inform your learners about what happens to the data you collect. If you require further information about learner data sent to us, how it is processed and to whom it may be passed on, please refer to our [Privacy Policy](#). All learners must also be made aware of our Privacy Policy and when and how we will share their data.

#### 1.10.14 Policy / Statement on working with Partners (where applicable)

Where delivery and / or assessment of qualifications is shared with a Partner Organisation, you must declare this and provide details of responsibilities and the quality assurance arrangements in place. This section will also apply to those centres working in partnership with colleges and schools whose learners are enrolled with the centre for specific vocational qualifications.

#### 1.10.15 Conflict of Interest Policy

- It is recognised that there may be a risk that some centres with a business interest in the outcome of assessments may have a conflict

of interest when determining the achievement of learners. To mitigate this risk we require centres to have in place, and to apply, sufficient and robust quality assurance procedures to safeguard the integrity of qualifications and assessments. This will include how a centre manages conflicts of interest and how the assessment process is protected from any potential adverse effect.

### *Definition*

*A conflict of interest in this context can be defined as a situation that has the potential to undermine the impartiality of a tutor, assessor, and internal verifier because of a person's self-interest, professional interest or public interest.*

- We are required under our Conditions of Recognition to be aware of any potential conflicts of interest that may impact on the outcomes of internal assessment and ultimately the award of a qualification. A centre policy/staff contract should make it clear to staff what may constitute a conflict of interest, and when, to whom and where this should be declared and recorded.
- The following are examples of potential conflicts of interest. This list is by no means exhaustive and centres must develop their own policies and procedures:
  - A member of staff works for a centre and a family member takes a qualification at the same centre;
  - A member of staff at the centre is completing a qualification delivered and assessed by the centre;
  - Tutor/assessor/IV working with more than one centre or private training provider;
  - Tutor/assessor/IV partaking in the appointment, promotion, supervision or evaluation of a person with whom they have family connections;
  - A member of centre staff involved in the delivery/outcome of a qualification having a family connection with a registered learner or learner's family.

### **1.11 Sector Provision**

- In this section centres should use the first column to indicate the qualification(s) and level(s) they currently offer with other awarding organisations.
- In the second column centres should indicate which qualifications and level they now wish to deliver.

### **1.12 Authorisation**

Authorisation for this application must come from the Head of Centre or from the person to whom this responsibility has been delegated. It is with this person we will correspond during the application process and who will make any decisions required relating to this approval.

## **2 Form CR2 Intention to deliver**

- 2.1 Full approval cannot be given until a centre has approval for at least one qualification within our portfolio. Please refer to our Policy on [Qualification Approval](#) on the website before completing this form.
- 2.2 A separate CR2 must be completed for each qualification the centre wishes to offer. New centres must complete this form in conjunction with CR1.

The reference numbers below refer directly to the sections of form CR2 Intention to Deliver.

### **2.1 Qualification / Course Details**

- Organisation refers to the name of the organisation as given in CR1 Section 1.1. This may not be the same as the site that is responsible for the qualification.
- The UKPRN is the number provided by the UKRLP.
- Please give the full qualification title and number of the qualification the centre intends to deliver. If the centre wishes to create a course/programme made up of regulated units from different qualifications please ensure that the accredited unit number is included here.
- Please indicate the target group and the anticipated number of learners as well as the expected date of the first intake.
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- If the centre already delivers in the sector with another awarding organisation please submit the latest monitoring report with the application. This will speed up the approval process.
- Whatever a centre's experience in the sector is, we recommend a Qualification Advisory visit which is a bespoke service focussing on the specific needs of the centre.

## **2.2 Delivery**

- Please indicate the method of delivery for the qualification e.g. traditional, distance learning or online. This information may impact on when learner enrolments should be received.
- Site Address should be the location(s) either
  - responsible for the administration of the qualification and with which we should liaise directly or
  - the location delivering practical training and assessment which the External Moderator would visit e.g. address of the motor vehicle workshop, hydrotherapy pool.

## **2.3 Contact Details**

- Please name the people responsible and give their contact details and, in the case of assessors, the qualifications/experience they have.
- Details of any partners involved will need to be included here. Please indicate which partner has a duty of care for each process. Centres are expected to have agreements in place with each Partner Organisation they engage. If any partners are based overseas, they must satisfy our requirements for overseas centres. Please contact us for further details.

## **2.4 Centre Authorisation**

- It is important the person registering this intent has the authority to do so and is aware, that in signing this section on behalf of the centre, it will be held to account for providing appropriate and sufficient resources to ensure that all learners are given the best opportunity to achieve the qualifications / units for which they are enrolled.

## **2.5 CR1e Onscreen test Delivery**

Centres delivering qualifications which require onscreen external assessment must also complete form CR1e.

### **3 Centre Agreement and Declaration**

- 3.1 At the point of approval you are also required to sign and submit a Centre Agreement. This agreement is a requirement of the Regulators' Conditions of Recognition with which all awarding organisations and centres must comply.
- 3.2 The centre agreement and declaration is an enforceable agreement which must be signed by the person accountable for the quality assurance and management of qualifications within the organisation.
- 2.3 Once approval has been granted and we are in receipt of a signed agreement the Centre will receive a Centre Recognition Certificate.

If you require any further assistance in support of your application please email [centrerecognition@skillsedugroup.co.uk](mailto:centrerecognition@skillsedugroup.co.uk)