

SFEDI[®]AWARDS THE AWARDING ORGANISATION
FOR ENTERPRISE

Centre Manual

Updated February 2013

Preface	6
Introduction to SFEDI Awards.....	6
About Us.....	6
SFEDI Awards Contact Details	7
Customer Service Statement.....	7
Quality of Service	7
Continuous Improvement.....	8
Complaints	9
SFEDI Awards Products	9
The Qualification Credit Framework (QCF).....	9
The Scottish Credit and Qualifications Framework (SCQF)	9
Life of a Qualification	10
Supporting our Customers.....	10
Structure.....	10
SFEDI Awards Board.....	10
SFEDI Awards Senior Management Team	10
SFEDI Awards Customer Service Team	11
SFEDI Awards Quality Assurance Team	11
SFEDI Awards Registration and Certification Team	11
Marketing Support Materials.....	11
Learning Materials.....	11
SFEDI Awards Logo	12
Logo Usage Guidelines.....	12
Misleading or Inappropriate Use	12
Sources of Funding.....	13
Centre Roles.....	13
Head of Centre	13
Single Named Point of Accountability.....	13
Registration and Certification Main Contact	13
Finance Main Contact	13
Internal Quality Assurer	13
Assessor.....	14
Tutor.....	14
Administrator	14
Centre Approval.....	14

Centre Approval Criteria	14
Centre Approval Process	14
Post Approval	16
Satellite Centres and Assessment Sites.....	16
Tier 4 Delivery	17
Withdrawal or Suspension of Centre Approval	17
Withdrawal of SFEDI Awards Approval	17
Suspension of Approval.....	17
Centre Updates	18
Registration of Learners.....	18
Four Week Rule	19
Unique Learner Numbers (ULNs)	19
Scottish Learner Number	20
Certification of Learners	20
Direct Claims Status	20
Replacement Certificates	21
Invoicing and Payments	21
Centre Approval Fees	22
Registration Fees	22
Miscellaneous Fees	22
Invoicing Periods	22
Inactive Centres	22
Qualification Inactivity	22
Centre Inactivity	23
Ongoing Monitoring and External Quality Assurance	24
Centre Risk Ratings.....	26
Sampling Rates	27
Unannounced Visits	27
Requirements for Internal Quality Assurance	28
Quality Assurance of Assessment	28
Sampling Assessments	28
Internal Quality Assurance Sampling Strategy	29
Monitoring of Assessments.....	30
Standardisation Activities	31
Supporting and Developing the Assessment Team	31
Managing the Quality of the Delivery of the Qualification	32

Malpractice and Maladministration	32
Examples of Malpractice and Maladministration	33
Guidance on preventing plagiarism	33
Retention of Centre Records	34
Timescales for completion of SFEDI Awards Units and Qualifications	34
Retention of learner portfolios or assessment materials	34
Credit Transfer, Claiming Exemptions and Recognition of Prior Learning	35
Use of Equivalent Units (Transfer of Credit)	35
Use of Achievements from Outside the QCF (Exemptions)	36
Recognition of Prior Learning.....	37
Stage 1: Awareness	37
Stage 2: Pre-assessment	37
Stage 3: Assessment	37
Stage 4: Awarding Credit	37
Stage 5: Feedback	37
Stage 6: Appeal	38
Conflict of Interest	38
Appeals, Complaints and Enquiries	38
Equal Opportunities	39
Guidance and Obligations	39
What are the Centres' Obligations?.....	39
Access Arrangements Including Reasonable Adjustments	40
What are Access Arrangements?	40
What are Special Considerations?	41
Examples of the most common situations.....	41
Workplace constraints	42
Data Protection	42
Collecting Personal Data	42
The Data Protection Notice.....	43
Processing of Personal Data.....	43
In Relation to Centres	43
In Relation to a Centre's Employees	44
In Relation to Learners.....	44
Ongoing Obligations to SFEDI Awards	44
Use of Welsh and Gaelige (Irish) Languages.....	45
Position Statement on the Use of Welsh and Gaelige (Irish).....	45

SFEDI Awards Centre Responsibilities.....	45
SAFLE FYNEGIAD ACHA 'R ARFER CHAN CYMRAEG A GWYDDELEG (GAELIGE).....	45
Canola chan Godidowgrwydd responsibilities.....	46
Other Languages.....	46
General Terms and Conditions.....	47
The Centre Must at all Times.....	47
The Contract Between the Centre and SFEDI Awards.....	48
Appendix 1 SFEDI Awards Equality and Diversity Policy.....	49
Equal Opportunities Statement.....	49
SFEDI Awards Equality Check.....	49
Equal Opportunities Procedures in the Development of Units and Rules of Combination.....	50
Appendix 2 Data Protection Notice.....	51
Sensitive data.....	51
What will we do With Your Personal Information?.....	51
Sensitive Information.....	52
How to Access Your Personal Information.....	52
Appendix 3 Privacy Statement.....	53
Our Commitment to Privacy.....	53
Giving Information for Other People.....	53
The Information we Collect During Registration.....	53
Keeping Your Personal Data.....	54
Appendix 4 Example Sampling Report.....	55
Appendix 5 Example Learner Interview.....	56

Preface

This document is provided to give guidance to centres on:

1. Achieving and maintaining SFEDI Awards centre approval
2. Operating effectively as a SFEDI Awards approved centre

As a SFEDI Awards centre you agree to uphold all elements of this Centre Manual and all future versions as attested to at the time of your original application for approval.

If a time comes where your organisation is unable to continue to meet the requirements of centre approval then you are free to apply to withdraw your approved status. This can be completed in writing direct to SFEDI Awards.

Introduction to SFEDI Awards

About Us

SFEDI Awards is the leading provider of education and training qualifications that seek to train and support individuals engaged with enterprise learning. As part of this, SFEDI Awards looks to promote and support those who:

- Are looking to explore how they can work in an enterprising and entrepreneurial way
- Are looking to start their own business
- Are looking to improve their business skills
- Are looking to support owner managers

Our qualifications are built on extensive research and we recognise that individuals wanting to go into self employment don't always have the generic business skills such as sales and marketing, managing finance and business planning. The research also tells us that those who invest time learning about business knowledge and skills have a significantly increased chance of their business succeeding. SFEDI Awards provide accreditation, products and services based on the SFEDI National Occupational Standards for Business Enterprise and Business Support.

SFEDI Awards Contact Details

SFEDI Awards Address	SFEDI Awards Enterprise House 18 Parsons Court Welbury Way Aycliffe Business Park DL5 6ZE
SFEDI Awards Customer Service Telephone	0845 224 5928
SFEDI Awards Customer Service Email Address	customerservices@sfedwards.com
SFEDI Awards Website Address	http://www.sfedwards.com

Customer Service Statement

Quality of Service

We will provide the best customer service through:

- Developing and defining appropriate suites of qualifications that meet the demands of the market place
- Ensuring our systems and processes enable our customers to meet regulatory requirements in the most effective and efficient manner
- Ensuring secure and ease of access to our systems and processes either in person or via our on-line facilities
- Maintaining good communications with our customers at all times including monthly bulletins and periodic Centre update meetings
- Being pro-active in seeking feedback and acting upon this information to develop our services and offering
- Developing user friendly materials to support the delivery of our qualifications

In order to ensure a timely service to customers we will:

Activity	Timescales
Respond to emails	Within 2 working days
Provide feedback on centre applications	Within 1 working week
Provide feedback on centre approval visits	At centre approval visit
Provide notification on outcome of centre approval process	Within 1 working week of approval visit
Appeals	Acknowledged within 2 working days (timeframes for completion of the appeals process will be dependent on the complexity of the appeal)
Issue certificates	Within 2 working weeks of application for certification (this may be delayed if a centre does not hold Direct Claims Status as an onsite visit will be required. N.B. invoices for registrations must have been paid prior to the issuing of certificates)
Re-issue certificate on receipt of both the replacement certificate application form and payment for the replacement certificate	2 working weeks
Complaints	Acknowledged within 2 working days (timeframes for completion of the complaints process will be dependent on the complexity of the complaint)

Continuous Improvement

In order to ensure we are continually improving our services we are keen to understand the needs of our customers. We achieve this by:

- Requesting feedback at all External Quality Assurance visits
- Having an open feedback route (anonymous if needed) via our website
- Elicit informal feedback from our customers via phone, email or other correspondence
- Elicit learner feedback
- Using our complaints and appeals procedure to understand and resolve any complaints or appeals we receive
- Capture best practice highlighted to us via feedback or direct comment
- Hold periodic reviews of systems to ensure they are optimised and capitalise on ideas/suggestions for improvements

Complaints

If any of our customers are dissatisfied with our services in any way we would welcome the opportunity to resolve this issue as quickly and effectively as possible. Customers need not necessarily complete a complaints form as we believe this in itself can be a barrier to communicating. Any form of communication is welcome including email, phone or letter.

We will acknowledge receipt of any complaints within 2 working days. We will then follow our documented procedures to ensure each and every incident is treated fairly and equally.

SFEDI Awards Products

The Qualification Credit Framework (QCF)

The Qualification Credit Framework (QCF) is the vehicle for recognising qualifications within England, Wales and Northern Ireland and, for most vocational qualifications, is a replacement to the National Qualification Framework (NQF). The QCF allows the learner to work toward credits from units or qualifications.

QCF qualifications have both a level and a size allocated to them and each unit is awarded a credit value. The unit credit value is a direct correlation of how many learning hours should be put into the achievement of that unit, for example 10 hours equates to 1 credit value.

Each QCF qualification title contains the following:

- The level of the qualification (from entry level to Level 8)
- The size of the qualification (Award/Certificate/Diploma)
- Details indicating the content of the qualification

The Scottish Credit and Qualifications Framework (SCQF)

The Scottish Credit and Qualifications Framework (SCQF) support's everyone in Scotland by:

- helping people of all ages and circumstances access appropriate education and training so they can meet their full potential;
- helping employers, learners and the general public to understand the full range of Scottish qualifications, how qualifications relate to each other and to other forms of learning, and how different types of qualification can contribute to improving the skills of the workforce.

By using two measures, the level of a qualification or learning programme and the number of Credit Points awarded, the Framework helps you understand and compare the various Scottish qualifications.

The level of a qualification indicates the level of difficulty and the number of credit points indicates the length of time it takes to complete. One SCQF credit point represents an average of 10 hours of learning time.

Life of a Qualification

SFEDI Awards submits qualifications for Regulation and in doing so sets qualification review dates. These can be seen on the SFEDI Awards website on the individual qualification pages.

On a qualification reaching its review date an Awarding Organisation makes the decision to either extend or renew a qualification and resubmit for regulation. The decision to extend or renew a qualification is taken on the basis of both the continued demand and suitability of a qualification. Where a qualification either has a lack of demand or is no longer seen as meeting the need of the market place the Awarding Organisation will withdraw the qualification from regulation.

Registrations for qualifications are available for the period of time between the operational start date and the review date. On the review date being reached, SFEDI Awards will automatically remove the qualification from use by the centre network. If registrations have not taken place by the review date then it will no longer be available for use by the centre network. It is the responsibility of the centre to ensure that all registrations have taken place by the review date. If registrations have not taken place, SFEDI Awards accepts no responsibility for any consequence that may occur.

For learners who have been registered by the review date they will be able to complete their learning programme and certification must be applied for by the certification end date, normally 2 years from the withdrawal date.

Supporting our Customers

Structure

SFEDI Awards Board

The SFEDI Awards Board has overall responsibility to ensure that SFEDI Awards meets both our Regulatory requirements and also operate in an efficient manner ensuring the integrity of both our operations as an organisation and also the qualifications that are delivered under the brand of SFEDI Awards.

SFEDI Awards Senior Management Team

The Senior Management Team of SFEDI Awards has the responsibility to ensure that the day to day operations of SFEDI Awards meet both our Regulatory requirements and also the requirements of our customers. In doing this the Senior Management Team make recommendations to the SFEDI Awards Board as to the developments within the market place and how SFEDI Awards should plan for a sustained and growing future.

SFEDI Awards Customer Service Team

The SFEDI Awards Customer Service Team is there to support both our centre network and also individuals who are interested in undertaking one of our qualifications. Through both telephone and email contact our Customer Service Team will answer your queries or direct you to a member of the wider SFEDI Awards team who will be able to support. The team can be contacted via 0845 224 5928 or on customerservices@sfediawards.com.

SFEDI Awards Quality Assurance Team

The SFEDI Awards Quality Assurance Team is there to support our centre network and the SFEDI Awards Senior Management Team to ensure the integrity of the qualification delivery under the name of SFEDI Awards. This team complete both centre approval visits and ongoing monitoring of the SFEDI Awards centre network to ensure that standards continue to be met. The Quality Assurance Team also offers advice and guidance to our centres as to the delivery and quality assurance of SFEDI Awards qualifications.

SFEDI Awards Registration and Certification Team

The SFEDI Awards Registration and Certification Team are there to support our centre network in their use of the Registr8 system to ensure the timely registration and certification of learners who undertake a SFEDI Awards qualification.

Marketing Support Materials

SFEDI Awards provides marketing materials through our website that are free to download and print as you require them. These materials include:

- SFEDI Awards brochure
- Individual qualification overviews
- Qualification specifications

Learning Materials

SFEDI Awards has produced a series of worksheets perfectly tailored to support the learning and assessment of our qualifications.

These materials are open for the use of organisations that are part of the SFEDI Awards centre network and offer a downloadable cost effective and efficient way of delivering our qualifications.

Details of our learning materials can be found through the SFEDI Awards website or by contacting the SFEDI Awards Customer Service Team.

SFEDI Awards Logo

On approval as a SFEDI Awards centre your organisation is authorised to use the SFEDI Awards Approved Centre logo on your website and on marketing material.

This logo can only be used by authorised approved centres and if you are aware of instances where the logo is being misused please notify the SFEDI Awards Customer Service Team detailing the location of the logo and the reason for thinking that the logo is being misused.

Logo Usage Guidelines

Users of the logo are permitted to resize the logo to suit their purposes, but the text of the logo must always remain legible.

If the logo is resized, it should be done so proportionately, ie. the logo should not appear stretched or squeezed.

The logo should not overlap, or be overlapped by other images or text. There should be a clear space surrounding the logo (we recommend a minimum of 15px if used on websites and 5mm when used in print).

For website use, if the logo is required to be used against a coloured background, please seek further assistance and guidance from SFEDI Awards.

For professionally printed publications relating to SFEDI Awards an encapsulated PostScript (EPS) file, suitable for use with Adobe Illustrator or equivalent software packages, must be used. It is 'scalable'; however, if the image is resized, this must be proportional, to maintain the correct shape/aspect ratio of the logo. The image must only be used in full as provided.

For handouts and flyers, files are available in GIF format, suitable for use with most graphic and word processing software, and Microsoft Word format.

Misleading or Inappropriate Use

The SFEDI Awards logo must not be used in any derogatory or misleading manner. The SFEDI Awards logo must also not be used in such a way that it could be taken as a form of endorsement or approval, without explicit agreement from SFEDI Awards.

Sources of Funding

A number of SFEDI Awards qualifications attract public funding. Funding is not something that SFEDI Awards provides direct access to and so, in order to use this, the centre will either need to hold contracts themselves or enter into a sub-contract arrangement with a contract holder.

Different funding routes are available through England, Scotland, Wales and Northern Ireland and if you wish to know more about this then please contact the relevant funding agency within the country.

Centre Roles

SFEDI Awards recognises a variety of roles within its approved centres, and for the purposes of clarity, these are outlined here. We do understand that qualification delivery happens within differing sizes of organisation and that some of the roles outlined below might be carried out by the same person.

Head of Centre

The member of staff with sufficient responsibility and duties that they are capable of acting on behalf of the organisation and are able to sign agreements on behalf of the organisation.

Single Named Point of Accountability

SFEDI Awards requires a single point of contact to ensure effective communication with the centre. This person is responsible for the dissemination of information to relevant staff and sub contractors. This person is the single named point of accountability for the quality assurance and management for the assessment of regulated units and qualifications.

Registration and Certification Main Contact

The member of staff who has overall responsibility for the administration of registrations and certification claims on behalf of the centre.

Finance Main Contact

The member of staff who has responsibility for the organisation of payment of invoices on behalf of the centre. This member of staff will be the individual who receives all correspondence from the SFEDI Awards Finance Department.

Internal Quality Assurer

A member(s) of staff responsible for ensuring the internal quality assurance of SFEDI Awards qualifications within the centre. Please note this role cannot be carried out by an Assessor/Tutor.

Assessor

A member of centre staff who conducts assessment of learners' work, leading to certification. Please note this role cannot be carried out by the Internal Quality Assurer.

Tutor

A member of staff delivering training which supports SFEDI Awards qualifications. Please note this role cannot be carried out by the Internal Quality Assurer.

Administrator

A member of staff who is responsible for registration and certification of learners.

Centre Approval

SFEDI Awards qualifications are delivered through a network of approved organisations. By completing the approval process an organisation demonstrates that it meets the SFEDI Awards approval criteria and enters into an ongoing relationship for the delivery of qualifications.

Centre Approval Criteria

The criteria required to become a SFEDI Awards centre are detailed in the Centre Application form, once recognised as a SFEDI Awards centre the SFEDI Awards Centre Manual details the on-going responsibilities of centres when operating as a SFEDI Awards centre.

At each centre's initial approval visit they will have demonstrated (when successful) compliance with the centre criteria and will be issued with a Centre Manual (unless this is already held). It is the centres responsibility to ensure that policies and practices that they indicated at approval stage are maintained in-line with SFEDI Awards requirements detailed in the approval criteria and manual.

The on-going External Quality Assurance visits that follow initial approval will also look to ensure that centres maintain their approved policies and practice and operate within the scope of the Centre Manual, as well as sampling activity of learners work.

Centre Approval Process

For an organisation to undertake the centre approval process it is necessary to firstly complete and submit the SFEDI Awards Centre Application Form that can be found by visiting the SFEDI Awards website.

Our Customer Service Team will be happy to support organisations who wish to apply to become a member of the SFEDI Awards centre network.

On completion of the SFEDI Awards Centre Application Form a representative of SFEDI Awards will complete a desk top review of the information submitted. Once this process has been completed a member of our Quality Assurance Team will contact you to arrange a Centre Approval Visit.

During the visit SFEDI Awards will view your documentation, policies and procedures relating to assessment and quality assurance and will also interview members of staff who will be involved in the delivery of the qualifications.

The list below shows the types of information that the Quality Assurance Team will require for the approval visit. Further details of the types of evidence that can be used to demonstrate that the centre meets the approval criteria can be seen within the SFEDI Awards Centre Application Form.

- Details of assessment procedures
- Recruitment process, CVs, role profiles, competence, experience, recruitment and selection policy and Continuing Professional Development for all staff delivering, assessing and internally quality assuring qualifications
- Details of the resources to deliver the qualification(s)
- Your management and quality systems
- Your equal opportunities policy and monitoring arrangements
- Your appeals and malpractice/maladministration procedures
- Programme of study information for learners
- Induction arrangements for staff and learners
- Tracking of learner progress and achievement
- Review and evaluation procedures

An organisation applying to become a member of the SFEDI Awards centre network will receive a report, once authorised by the SFEDI Awards Chief Executive or a member of staff delegated to complete this task, which sets out the outcome of the approval visit. This will be one of three outcomes:

- Approved
- Approved with Action Plan
- Not Approved

If an organisation is not approved then an action plan will be provided and a further approval visit will be arranged once the necessary actions have been completed.

Please note that SFEDI Awards reserves the right to refuse approval for either an organisation or for individual qualifications within an application where justified to ensure the integrity and quality of qualification delivery.

Approval is given on the basis of the qualifications applied for by the centre in the initial application. The centre may not register learners or proclaim to be able to register learners on any programmes

that it does not hold approval for. Approval to offer additional qualifications may be submitted and the appropriate fee paid.

Details of our fees and prices relating to centre approval can be found through the SFEDI Awards website or by contacting the SFEDI Awards Customer Service Team.

Post Approval

On successful completion of the Centre Approval Process the organisation will:

- Receive written confirmation of the approval
- Receive a centre certificate for display within the organisation
- Receive an electronic version of the SFEDI Awards Approved Centre logo
- Receive an electronic version of the SFEDI Awards Centre Manual
- Be listed on the SFEDI Awards website as a member of the SFEDI Awards centre network searchable by the qualifications approved for delivery by the organisation
- Be allocated login details for the SFEDI Awards registration and certification system, Registr8
- Be allocated a member of the Customer Service Team as a point of contact
- Be allocated a member of the Quality Assurance Team as a point of contact

An organisation that receives approval undertakes to begin the registration of learners within the first 6-month period following the date of the approval visit. If this does not occur, SFEDI Awards reserves the right to withdraw centre approval and the organisation will be required to undertake the approval process once again.

Satellite Centres and Assessment Sites

SFEDI Awards recognises that organisations often operate through multiple locations often know as 'satellite centres'.

In the instance where an organisation is making use of a satellite centre for the delivery and quality assurance of SFEDI Awards qualifications we require that the satellite centre(s) operate the same quality assurance processes and procedures as the main centre.

When visiting centres, EQAs must know which satellite centres the learners are at and who is completing the assessment and quality assurance roles. The EQAs will also check the suitability of resources within any satellite centre. If you have a number of approved satellites, any changes to the centre monitoring rating or approval status will affect the entire operation.

To apply for the addition of a satellite centre to your organisation, please complete the Centre Location Extension Application form where you are required to provide details of the satellite centre, the staff and physical resources available and confirm the assessment and quality assurance process and practices are consistent with those of the original centre.

Tier 4 Delivery

For those centres who deliver under the UK Border Agency Tier 4 provision the centre must have in place at the time of approval, and ongoing throughout the delivery of SFEDI Awards qualifications, an up to date inspection report from either the Independent Schools Inspectorate or the Quality Assurance Agency. Both organisations run different inspection risk gradings. In order to operate as a SFEDI Awards centre delivering within Tier 4 provision the organisation must hold, and continue to hold, the following minimum gradings:

Organisation	Minimum Grading Required for all Sections in Report
Independent Schools Inspectorate	Confidence and Reliance
Quality Assurance Agency	2 – Meets expectations

If a centre falls below this minimum requirement, SFEDI Awards reserves the right to suspend further registrations and/or centre status until such time as the organisation is able to produce a report showing that they now meet the minimum requirements as detailed above.

Withdrawal or Suspension of Centre Approval

Withdrawal of SFEDI Awards Approval

Centre approval may be withdrawn by SFEDI Awards at any time where:

- The centre does not continue to meet the Centre Approval Criteria or fails to meet the requirements as detailed within the SFEDI Awards Centre Manual
- The centre fails to disclose malpractice
- There is a change in the control of the centre which has an impact on the operations and structure of the organisation. Centres must inform SFEDI Awards immediately of any changes

In all cases SFEDI Awards will be happy to discuss each situation as it arises and give a reasonable period for issues to be resolved.

Suspension of Approval

SFEDI Awards may decide to suspend all or any of a centre's activities for a specified period of time, or indefinitely. This may be in order to see if a situation which could lead to withdrawal of approval can be remedied, or if it is felt that it is appropriate to do so in order to protect learners or SFEDI Awards.

Centre Updates

SFEDI Awards recognises that over time both staff and resources change within an organisation. It is the responsibility of the centre to update SFEDI Awards when there are changes. The following provides a list of the changes that a centre must notify SFEDI Awards of and how notification should be completed.

Change	Notification Method	Timeframe
Ability to continue to meet centre approval criteria	In writing from Head of Centre	Within 1 working week
Ability to continue to meet Centre Manual requirements	In writing from Head of Centre	Within 1 working week
Operational changes	Submission of Centre Update Request	Within 2 working weeks
Delivery staff changes	Submission of Staffing Matrix held on SFEDI Awards website	Within 2 working weeks
Resource changes	In writing from Head of Centre	Within 2 working weeks
Addition of a satellite centre	Submission of Centre Location Extension Application Form	Within 2 working weeks

Dependent on the type of change that is notified it may be necessary for SFEDI Awards to:

- Complete an additional External Quality Assurance visit to confirm that the approval criteria continue to be met. Additional fees may be chargeable for this activity
- Withhold certification until an additional External Quality Assurance visit has been completed and a satisfactory report received. Additional fees may be chargeable for this activity
- Withdraw centre approval either permanently or until such a time that the centre can meet its requirements for centre approval. Additional fees may be chargeable for this activity

Registration of Learners

SFEDI Awards provides a registration and certification system named Registr8 that is available through a web based portal. On successful completion of the centre approval process or the addition of satellite centres, the nominated users will automatically be allocated both a username and password to allow for use of the system.

It is important that registrations are completed accurately on the system. If any of the learner information, including the unit or qualification registered for, is incorrectly provided or input

incorrectly by the centre it may result in the learner having to be re-registered. This will incur an administration charge. These costs are detailed in the SFEDI Awards price list.

Any amendments to learner data must be carried out by SFEDI Awards and not the centre. Any changes made by a centre are not recognised by SFEDI Awards through our reporting process.

On the entering of a learner onto the Registr8 system and the allocation of a qualification or unit of a qualification by the centre, this will confirm that the centre is registering an individual and so will be liable for the relevant fee for the qualification or unit of a qualification.

The registration fee is non-refundable and if the learner is later withdrawn from the course this will incur a further administration fee paid for by the centre.

SFEDI Awards will not invoice directly to a learner and so all monies owed to SFEDI Awards are the responsibility of the centre. If your organisation requires the use of a Purchase Order Number please ensure that you forward this to the SFEDI Awards Finance Department by email at finance@sfedi.co.uk.

Four Week Rule

SFEDI Awards operates a four week rule where learners must be registered for the qualification or unit of a qualification within four weeks of commencing the programme of study. Although there is no minimum timeframe from registration to certification, SFEDI Awards will continually monitor centres to ensure that appropriate timeframes are applied as per the requirements of the qualification.

Where a centre has not registered a learner and applies for certification, the centre must complete the Late Registration form and submit this to SFEDI Awards. This form will require the centre to disclose details of the learner, reasons for non-registration and the actions proposed by the centre to ensure the situation does not reoccur.

Late registrations for qualifications or unit of a qualification will be monitored through the ongoing External Quality Assurance of the centre and may impact on the approval status of the centre if it is seen to be disadvantaging a learner or bringing the integrity of the delivery of a qualification into question.

Unique Learner Numbers (ULNs)

All approved centres that access public funding for learners are required to register and upload information for individual learners to the Learner Record Service. On the submission of data a Unique Learner Number (ULN) will be generated which must be entered onto the SFEDI Awards Registr8 system at the time of registration of a learner. SFEDI Awards will use this to upload achievement data to the Learner Record Service when certification is approved for a learner.

Further details of how to apply to submit information to the Learner Record Service can be found at <http://www.learningrecordsservice.org.uk/>.

Scottish Learner Number

All approved centres who deliver SQA regulated qualifications have a duty to supply Scottish Learner Numbers to SFEDI Awards which must be entered onto the SFEDI Awards Registr8 system at the time of registration of a learner.

Certification of Learners

When a learner has completed their qualification and both the assessment and internal quality assurance processes have been completed, the centre should use the Registr8 system in order to claim for certification.

The centre must have a robust system in place that ensures that certification is claimed validly and once signed off by an appropriate person, in this instance by the authorised Internal Quality Assurer or External Quality Assurer where Direct Claims Status is not held.

If the centre does not hold Direct Claims Status (DCS) then SFEDI Awards should be notified to arrange for an External Quality Assurance visit to take place where one has not already been diarised. Where a centre does hold Direct Claims Status (DCS) then certificates will be posted to the centre for distribution to learners.

Please be aware that certificates claimed prior to the completion of a qualification or unit of a qualification and the assessment and quality assurance processes will result in an immediate increase of the centres risk rating.

If certificates are claimed in error or where SFEDI Awards notifies a centre of a rejection of certification during an External Quality Assurance visit then it is the responsibility of the centre to return the certificate(s) to SFEDI Awards where they will be made null and void. Certificates can be reclaimed once the appropriate actions notified to the centre have been completed. Additional charges will be made to the centre for administration processes.

Direct Claims Status

Where a centre has been awarded Direct Claims Status (DCS) for a qualification it has been deemed to have demonstrated both consistency and quality in the delivery, assessment and internal quality assurance of qualification delivery. Direct Claims Status (DCS) is awarded on a qualification basis and so it may be the case where a centre holds DCS for certain qualifications but not for others, this is not uncommon.

In order for a centre to be considered for Direct Claims Status (DCS) it must demonstrate that it has:

- An Internal Quality Assurer with appropriate knowledge and skills and has demonstrated good practice
- An Internal Quality Assurance policy which is being effectively implemented and covers all aspects of Internal Quality Assurance
- Delivered the qualification(s) across multiple cohort(s) of individual(s) and has demonstrated consistency and quality within both assessment and quality assurance
- A centre has received a risk rating of no higher than Green (please see descriptions under the heading Centre Risk Ratings later in this document)

Direct Claims Status (DCS) can both be awarded and withdrawn from a centre for a qualification(s) and it is the right of SFEDI Awards to withdraw Direct Claims Status (DCS) where it is felt necessary to ensure the integrity of the delivery, assessment and quality assurance of a qualification by a centre.

Replacement Certificates

SFEDI Awards will supply replacement certificates where learners have:

- Lost their original
- Changed their name
- There are errors on the original

Where possible the original certificate must be returned to SFEDI Awards with the application and payment made prior to a replacement certificate being issued.

Where individuals wish to apply for a certificate replacement they should complete the Replacement Certificate Application form.

Invoicing and Payments

SFEDI Awards operates an invoicing policy for the payment of both centre approval, registration and any miscellaneous fees.

All of our fees and prices are documented in the SFEDI Awards Fees and Prices document on the SFEDI Awards website and also on request to our Customer Service Team.

All invoices are downloadable from the SFEDI Awards Regitr8 system; hard copies of invoices are available on request to finance@sfedi.co.uk. If you require an internal Purchase Order number, please ensure you have the necessary systems in place so as not to delay payment of outstanding invoices.

Centre Approval Fees

On the approval of an organisation as a member of the SFEDI Awards centre network, payment must be received within 4 working weeks. If payment has not been received, this may result in SFEDI Awards withdrawing approval and the organisation being required to re-apply to become a centre.

Registration Fees

Registration fees are invoiced on a monthly basis covering the activity completed within the previous calendar month as submitted using the Registr8 system.

Miscellaneous Fees

Miscellaneous fees are invoiced prior to activity being completed and monies are to be paid before the activity commences.

Invoicing Periods

SFEDI Awards operates under a 30 day payment period. If payment is not received within the 30 day payment period the following actions are taken:

Payment Period	Action Taken
Payment within 30 day period	No action to be taken
Payment not received within 30 day period	Reminder letter sent
Payment not received within 45 day period	Reminder letter sent and suspension of ability to register further learners
Payment not received within 60 day period	Suspension of centre approval status. Any further activity will require the organisation to reapply as a SFEDI Awards centre and will incur centre approval costs.

Inactive Centres

SFEDI Awards is committed to ensuring that individuals who access our qualifications through our centre network do so from organisations that are current in their delivery practices. In order to support this SFEDI Awards recognises two forms of inactivity within the centre network.

Qualification Inactivity

In order for a centre to continue to offer individual qualifications then the centre will be required to submit registrations on a calendar year basis. Where a centre does not submit new registrations for a qualification within the calendar year, the qualification will be suspended from the centre with no prejudice. In this instance the centre will be required to re-apply to have the qualification added to

their approved portfolio of qualifications using the Qualification Application form. All costs associated with this will be met by the centre.

Centre Inactivity

In order for a centre to continue to hold an approved status, the centre is required to register learners for qualifications on a calendar year basis. Where a centre does not submit new registrations for any qualification within the calendar year, SFEDI Awards reserves the right to withdraw centre approval with no prejudice. In this instance the centre will be required to re-apply as a SFEDI Awards centre using the Centre Application form. All costs associated with this will be met by the centre.

Ongoing Monitoring and External Quality Assurance

The essential purposes of monitoring and verification are to:

- Ensure continued compliance with SFEDI Awards criteria; and
- Protect the integrity of the qualifications delivered and certificated through the SFEDI Awards centre network.

Following approval, SFEDI Awards appoints an External Quality Assurer. Where a centre's activities are particularly extensive, or where specialist routes are involved, it may sometimes be necessary for one or more additional External Quality Assurers to be allocated to the centre. Additionally, where a centre operates programmes at a considerable distance from its own base, a more local External Quality Assurer may be allocated to these programmes only – in order to provide more effective support.

The External Quality Assurer may change at any time should the need arise such as where a conflict of interest arises, or there is a need to adjust an External Quality Assurer's workload.

A copy of the registration list (produced by SFEDI Awards when a centre registers learners on a programme) is sent to the External Quality Assurer to advise them of the programme. Centres should note their contractual obligation to register participants within four weeks of the start of the programme to allow sufficient opportunity for quality assurance activities. Failure to do so may disadvantage participants at a later date.

The External Quality Assurer normally visits an active centre a minimum of twice each year, though this may be increased according to the level of activity. This facilitates holistic monitoring of the centre against the approval criteria. The External Quality Assurer is also responsible for a range of external quality assurance activities which vary according to the specific training and development operated by the centre. Holistic and programme-specific activities are normally combined at each visit, as detailed in the list below.

Postal verification and e-based assessments may be used to complement visits, where this is an effective and efficient alternative. Telephone, fax or e-mail contact will normally be used to enhance effective contact between centres and evaluators. File notes of centre/verifier contact are maintained for audit purposes.

Visits are always pre-arranged with the centre. The centre is responsible for providing adequate information on the visit location and arranging suitable parking facilities where appropriate. The External Quality Assurer will advise the centre of his/her requirements for the forthcoming visit – which may include speaking to members of staff or learners, sampling assessments or checking aspects of the centre's operations against the original approval documents. Centres are encouraged to liaise with the External Quality Assurer as early as possible in the programme to arrange dates for visits, to avoid difficulties at a later date.

Whilst the precise format of each visit will vary, each visit will include some of the following activities as a minimum:

- Check the centre's operations against Centre Approval Criteria
- General up-date on centre's activities
- Check progress against action plans
- Check and record registrations since last visit, and pending registrations
- Check staffing status/changes against staffing matrix
- Check programmes - discuss changes (as appropriate)
- Monitor learner support provided by the centre (including records)
- Approve assessment proposals (as appropriate)
- Sample completed assessments/portfolios and examine relevant records
- Monitor planning and recording of internal quality assurance activities
- Check ongoing Continuous Professional Development activities and records of staff members
- Meet/interview learners (as appropriate)
- Speak to other staff members (as appropriate)
- Provide information and advice as appropriate
- Complete Centre Visit Report and Action Plan (as appropriate)
- Feedback to Centre Contact/Co-ordinator
- Outline future requirements and/or arrange next visit.

At the end of the visit the External Quality Assurer:

- Is responsible for recording the outcomes on the Centre Visit Report form, and for up-dating the Action Plan as appropriate
- Will provide feedback to the Centre Co-ordinator and discuss the outcomes of the visit as appropriate
- Records his/her actions, which remain on the EQAs file to track the external quality assurance activities

Centres should note that any changes to staff involved in the assessment of SFEDI Awards qualifications should be reflected in their staffing lists (as submitted at initial approval) and that an updated version of this should be sent through to SFEDI Awards when changes are made.

SFEDI Awards may request further information about new staff members (e.g. CV, qualification certification, CPD log) for ratification; this may be done at the next EV visit or via remote sampling prior to this.

Centre Risk Ratings

On completion of an External Quality Assurance visit, all centres will receive a risk rating based on the evidence viewed and interviews conducted at the visit.

All centre approval criteria held within the External Quality Assurance report will receive a risk rating that will inform the overall centre risk rating awarded and will impact on the following:

- The ongoing sampling rates as required by the Internal Quality Assurer
- The ongoing sampling rates as required by the External Quality Assurer
- The ongoing frequency of the External Quality Assurance visits
- The Direct Claims Status (DCS) of the centre
- The ability to register further learners
- The centre approval status of an organisation

SFEDI Awards makes use of the following risk bands:

Risk Level	Description	Actions Taken
Blue	No issue	No action
Green	Minor issue identified	Entry on action plan
Amber	Issue identified resulting in disadvantage of learner	Entry on action plan and increased sampling rates
Red	Issue identified resulting in breakdown and safety of a qualification	Entry on action plan and suspension of registrations until a time where the integrity of the qualification is maintained
Black	Issue identified resulting in breakdown of the integrity and safety of multiple qualifications	Entry on action plan and suspension of centre approval status until a time where the integrity of the qualification is maintained

Please note that a risk level of either Red or Black may result in SFEDI Awards taking the decision to remove centre approval status and not accepting a re-submission of an organisation to rejoin the SFEDI Awards centre network.

Under the regulatory requirements of SFEDI Awards, if we do take the decision to remove centre approval status, we are required to notify other Awarding Organisations of this decision.

Sampling Rates

SFEDI Awards prescribes the necessary sampling rates to be carried out by both our External Quality Assurers and the centres Internal Quality Assurers. We do this in order to ensure the quality and consistency of qualification delivery.

Sampling rates are based on how long a centre has been operating a qualification and also the risk rating received from ongoing External Quality Assurance visits.

The following sampling rates apply:

Situation	External Quality Assurer Sampling Rate	Internal Quality Assurer Sampling Rate
Centre delivering within first 2 cohorts of a qualification	50%	75%
Centre that does not hold higher than a Green risk rating	15%	30%
Centre that holds an Amber risk rating	30%	50%
Centre that holds a Red risk rating	50%	100%
Centre that holds a Black risk rating	75%	100%

Please note that the sampling rates are a minimum and additional sampling can take place if a situation arises where it is deemed necessary to ensure the integrity of the qualification process. Further guidance for the completion of the Internal Quality Assurance role can be found in the following section.

Unannounced Visits

SFEDI Awards may, at times, conduct unannounced visits to a centre or satellite centre in order to ensure the integrity of the qualifications being delivered. The following list provides examples of the reasons for unannounced visits but should not be seen as an exhaustive list:

- Where there is a suspicion of maladministration or malpractice
- Where a complaint has been made regarding the centre and it is deemed necessary as part of the investigation process
- On request of the appropriate regulator or funding body

Unannounced visits are also used by the Regulator and these can take place without the knowledge of SFEDI Awards. In this instance the Regulator will take the lead, unless otherwise requested of SFEDI Awards, in any such visit.

Requirements for Internal Quality Assurance

The role of Internal Quality Assurer is an important role in the ongoing consistency and quality of the delivery and certification of qualifications in continually monitoring and reviewing to ensure the integrity of the process is maintained.

The Internal Quality Assurance role has three main duties:

- Quality assurance of assessment
- Development and support of the delivery/assessment team
- Managing the quality of the delivery of the qualification

Quality Assurance of Assessment

The quality assurance of assessment is the main function of the Internal Quality Assurer as this concerns the maintaining of the integrity of the qualification by maintaining both the quality and consistency of the assessment process.

In doing this the Internal Quality Assurer will:

- Sample assessments
- Monitoring assessment practice
- Standardising assessment judgements

Sampling Assessments

SFEDI Awards requires our centres to complete sampling of assessment judgements on both an interim and summative basis. In doing this it helps to promote the continuous development of the delivery/assessment staff member and also enables the highlighting and addressing of any issues or concerns at an early stage to avoid the disadvantaging of the learner.

Sampling should be a tool used to not only maintain the quality of assessment but also highlight the individual training needs of the delivery/assessment staff member so that appropriate CPD programmes can be put in place to aid development and improvement over time.

For interim sampling the Internal Quality Assurer should:

- Review learner work prior to assessment decisions being made
- Review learner work once assessment decisions have been made

For summative sampling the Internal Quality Assurer should:

- Review learner work once sign off has been completed of all units to see how the delivery/assessment staff member has reached their decision on the evidence
- Ensure that the work submitted meets the requirements of being
 - Valid relevant to the standards for which the evidence is claimed
 - Authentic produced by the learner
 - Reliable accurately reflects the level of performance which has been consistently demonstrated by the learner
 - Current sufficiently recent to be confident the same level of skill/understanding/knowledge exists at the time of the decision
 - Sufficient meets in full All the requirements of the standards

A suggested range of tools that the Internal Quality Assurer can use in order to aid the sampling process are:

- Reviewing of learner work submitted
- Observations of delivery sessions
- Interview learners about their progress and understanding of the processes used within the assessment of their qualification
- Interview employers about their interaction with the assessment process (if applicable)

Sampling decisions made by the Internal Quality Assurer must be recorded adequately, securely stored for future audit purposes and also be clear, comprehensive and relevant. An example of a recording sheet is included within Appendix 4 of this Centre Manual.

Internal Quality Assurance Sampling Strategy

Within the section 'Sampling Rates', SFEDI Awards does prescribe the necessary rates of sampling required to be undertaken by the Internal Quality Assurer. These are based on the experience of the centre and also the risk rating allocated through ongoing External Quality Assurance.

Although SFEDI Awards sets sampling rates it is the application of these that ensures the integrity of the qualification process. Each centre is required to have in place a sampling strategy for how it intends or currently completes its Internal Quality Assurance role.

In the development of a sampling strategy, the centre should look to address the following points:

- Size of the sample needed to ensure reliability
- Assessment methods used within the centre
- Assessors (number, experience, workload and location)
- Learner cohorts (eg. full/part time, different programme start dates)
- Qualification being sampled (is it new to the centre or has it recently been updated)

- Performance of the delivery/assessment team (are there particular subjects that are causing problems)

In the drawing up of a sampling strategy it is important that all of the delivery/assessment team fall within the planned sampling activities. Dependent on the experience and performance of each member of the delivery/assessment team, some team members may require a higher level of sampling than others.

If the delivery/assessment team member is experienced with the qualification and delivery approach then it may only be necessary to sample one or two of their learners per cohort whereas a less experienced staff member (new or delivering the qualification for less than 3-4 cohorts) may require a substantially higher sampling rate for the first 6-12 months.

This decision is that of the Internal Quality Assurer as part of their sampling strategy planning process and the reasons for the levels may form part of the External Quality Assurers questioning during future monitoring visits.

Monitoring of Assessments

The monitoring of assessments involves the observation of both the delivery and assessment staff members and providing feedback on their performance in order to aid in further and future development through effective CPD programmes.

Within the monitoring of assessments the Internal Quality Assurer should look to observe each staff member at least once every 12 months but, as with the sampling strategy planning, less experienced staff members may require more frequent monitoring.

In the planning of the monitoring activities the Internal Quality Assurer should be aware of safety, confidentiality, security and any additional organisation requirements which could be affected by their presence and these should be discussed with the delivery/assessment staff member prior to undertaking the planned activity.

The monitoring of assessments also includes the opportunity to conduct learner interviews to gather together information relating to their learner experience. The Internal Quality Assurer can include questions relating to:

- The name of the qualification being undertaken
- The understanding of the assessment process
- Knowledge of progress made to date
- Knowledge of the right to unit certification
- The understanding of their role in the evidence generation and collection
- Confidence levels in their tutor/assessor
- Knowledge and understanding of the appeals and complaints process

- The meeting of current learning needs

An example of a learner interview record is included within Appendix 5 of this Centre Manual.

Standardisation Activities

Standardisation forms an important part of the Internal Quality Assurance role as it provides the opportunity to ensure that all delivery/assessment staff members are working to a consistent standard that meets the requirements of the Awarding Organisation and qualification.

Standardisation activities should be attended by the Internal Quality Assurer(s) and delivery/assessment staff member(s) that are involved in the delivery of the qualification and should:

- Be carried out on a 6-monthly basis at a minimum
- Involve the review of examples of evidence that show both best practice and areas for improvement
- Provide an open forum for the sharing of practices and ideas between the team
- Provide an opportunity for the Internal Quality Assurer to share advice sought and gained from the Awarding Organisation

Supporting and Developing the Assessment Team

In the support and development of the delivery/assessment staff members, the Internal Quality Assurer should ensure they have:

- Copies of all standards they are to deliver/assess
- A set of all assessment tools, report forms and guidance notes used within the centre
- Copies of the appeals and complaints procedure, equal opportunities policy and other relevant organisational procedures
- Information relating to available learner and staff support resources/equipment/facilities
- Information regarding the Awarding Organisation and the External Quality Assurer
- Contact point for advice from the Internal Quality Assurer

It is the responsibility of the Internal Quality Assurer to ensure that the delivery/assessment staff member(s) undertake CPD activities each calendar year and that these activities are clearly recorded and available for viewing by the External Quality Assurer.

If the centre makes use of multiple Internal Quality Assurers it is best practice for the centre to appoint a Lead Internal Quality Assurer that will take responsibility for the support and development of the other Internal Quality Assurers.

Managing the Quality of the Delivery of the Qualification

In order for the Internal Quality Assurer to effectively play a part in the management of the quality of the delivery of qualifications they require information

Malpractice and Maladministration

Monitoring centre activities is a normal function of an Awarding Organisation's operations and both Internal and External Quality Assurers have key responsibilities for ensuring that things are done properly.

Malpractice is defined as,

'Any deliberate activity, neglect, default or other practice that compromises the integrity of the assessment process and/or the validity of certification.'

Maladministration is defined as,

'Any activity, neglect, default or other practice that results in the centre or candidate not complying with the specified requirements for delivery of the qualifications and as set out in the relevant legislation.'

SFEDI Awards recognises a sliding scale from maladministration to malpractice as can be seen within the following image:

MALADMINISTRATION

POOR PRACTICE

"SHARP PRACTICE"

MALPRACTICE

CRIMINALITY

Examples of Malpractice and Maladministration

The following table provides examples of what would constitute both malpractice and maladministration, please note these are examples and should not be seen as an exhaustive list.

Malpractice	Maladministration
False identification	Late or no registrations
Impersonation at assessment	Certificate claims prior to completion of the assessment and quality assurance process
Falsifying records	Loss of records or assessment/quality assurance paperwork
Cheating in assessment	Failure to adhere to the qualification requirements and associated actions assigned to a centre
Cash for certificates	Failure to maintain appropriate auditable records
Fabricated certificates	Failure to provide information on request preventing SFEDI Awards from fulfilling its regulated functions

If a centre suspects either an occurrence of malpractice or maladministration they must report this to SFEDI Awards in writing from the Head of Centre without delay.

All SFEDI Awards centres are required to hold a policy on how they intend to deal with malpractice and maladministration, SFEDI Awards can assist in the development of this if required.

SFEDI Awards is committed to supporting centres in meeting all of our requirements and advice can always be sought through our Quality Assurance Team.

As part of the regulatory conditions, SFEDI Awards will notify the Regulator of suspected malpractice or maladministration in the first instance. At this time SFEDI Awards will provide information relating to the centre and the suspected instance of malpractice or maladministration and the investigation protocols being adopted. At this point in time the Regulator may chose to complete their own investigation independently of SFEDI Awards.

Guidance on preventing plagiarism

Centres are responsible for ensuring that any work submitted by a learner as part of a SFEDI Awards qualification is their own work. Part of the assessment process is to authenticate learners' work. It is best not to assume that all learners are aware of and understand what is and what isn't accepted practice and to provide clear information.

Learners need to be provided with information on their responsibilities in making sure that work they submit is their own and on how to attribute any contributions.

Ensure that learners sign a declaration to confirm all the work they are submitting is their own.
Provide learners with examples of good referencing as well as examples of bad referencing including referencing web pages and date of access.

Ensure that learners understand the consequences of submitting work that is not their own.
Centre policies should cover how instances of suspected plagiarism will be dealt with.

Cases of major plagiarism must be reported to SFEDI Awards who will then take the appropriate action.

Retention of Centre Records

In order to facilitate auditing by SFEDI Awards or the Regulator and the proper management of any appeal process, centres must retain records of assessment and internal quality assurance for a rolling period of 4 years. It is not necessary to retain learners' assessment materials, (i.e. those produced by learners on the basis of which assessment was made eg portfolios, projects, assignments, etc), only the records that support the centres internal quality assurance.

Timescales for completion of SFEDI Awards Units and Qualifications

All learners undertaking SFEDI Awards units or qualifications must complete their programme of learning and claim certification within a set time period. Each qualification has a 'Qualification Specification' this details timescales and the lifespan of the qualification.

Where learners have moved beyond a defined time period for completion of a qualification they will be required to re-register. The re-registration fee will automatically be charged to the centres once the registration has lapsed. The centre should notify SFEDI Awards immediately confirming learners who have withdrawn from a programme.

Retention of learner portfolios or assessment materials

Each Centre should have a policy in relation to retention of learner files/portfolios / assessment materials. Learners should be informed of the policy at their induction.

Some centres may wish to retain all files permanently; others may wish to return files to learners. However, files should be retained by the centre until the EQA visit following the learner's certification in case they are selected for sampling. After a satisfactory EQA visit they can be returned to the learner. This may mean that files may need to be stored in centres for up to 6 months.

As some centres are moving towards e-portfolios, access to these should be made available to the EQA for remote sampling and also for viewing at a site visit. If a learner wishes to have a copy of the file, this should be made available to them.

SFEDI Awards understands that a 6-month period can be a significant period of time for centres who deliver shorter qualifications. In these instances, centres should contact the SFEDI Awards Customer Service team to discuss arranging an earlier EQA visit so that files can be released. In this circumstance dependent on the number of registrations made by the centre since the last EQA visit, the normal additional fee may be waived; this is at the discretion of SFEDI Awards.

Credit Transfer, Claiming Exemptions and Recognition of Prior Learning

The QCF aims to promote flexibility for learners and help them avoid duplicating learning and or assessment. There are three ways that learners can avoid duplication of learning and assessment:

- Transfer credits for achievements within the QCF
- Certificated achievement from outside the QCF can be used to claim exemption from the requirement to achieve credit for designated units
- Learning and achievements that have not been certificated can be assessed and validated through Recognition of Prior Learning

All centres that are approved to offer qualifications within the QCF must have policies that allow this to happen which will include how they make sure their learners are aware of these options and what they need to do to take advantage of them. It should be the choice of the learner whether they want to take these options which should not be presented to them as a quick and easy fix, as this is certainly not the case. The learner still has to comply with all the requirements as stated in the unit standards and qualification.

If a learner wishes to use existing achievements towards a SFEDI Awards qualification, it is important that the centre obtains the learner's consent to access the learner record to make sure that opportunities for credit transfer and exemption are maximised.

Recognised Prior Learning will be available for a period of 12 months from the point at which the evidence has been generated. This is to ensure that the learner demonstrates current knowledge and skills within the qualification.

Use of Equivalent Units (Transfer of Credit)

When SFEDI Awards designs its qualifications, there is a process of checking what units already exist and considering all opportunities for credit transfer.

The rules of combination for a qualification show when there are equivalent units that can count towards the qualification. Any learners, who have already achieved those units, possibly as part of another qualification, may ask to use those units towards their qualification. In this way, learners are

able to show that they have already achieved part of a qualification through credits awarded towards a different qualification.

If a centre believes that a learner has a certificated achievement that should count towards a SFEDI Awards qualification and it is not shown as part of the rules of combination, the centre should check with the EQA in the first instance. New units may well be submitted onto the QCF after SFEDI Awards has developed its qualifications and before its periodic review. So it is possible for a centre of a learner to “find” new units which SFEDI Awards would then confirm as equivalent or not.

Confirmations of any requests for equivalence will be issued by the SFEDI Awards Quality Assurance Team.

Credit transfers do not have a time frame but it is the responsibility of the centre to ensure the instructions above are followed.

Use of Achievements from Outside the QCF (Exemptions)

A learner may have already gained certification of achievement in learning outside of the QCF (e.g. the NQF) and would like the centre to consider this when undertaking a qualification. The Regulators support this activity as is indicated in the regulations for the QCF where they give the following definition of exemption:

“The facility for a learner to claim exemption from some of the achievement requirements of a QCF qualification, using evidence of certificated, non-QCF achievement deemed to be of equivalent value.”
(Ofqual/08/3726)

If a learner asks to use this option when it is introduced to them then the centre will need to prepare a mapping of the non-QCF learning and its associated learning outcomes to the learning outcomes and the assessment criteria of the relevant SFEDI Awards unit.

If the mapping shows that the entirety of the unit’s learning outcomes and assessment criteria have been met then this can be assessed and validated through exemption process. This is done through the afore mentioned mapping exercise.

Recognition of Prior Learning

Recognition of Prior Learning (RPL) is defined as:

A method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills that they already possess and do not need to develop through a course of learning.

(Ofqual 08/3726)

This essentially means that as long as a learner is able to meet all of the assessment requirements of a QCF unit, RPL allows them to receive credit for their learning (regardless of the method it was accessed). This can reduce duplication of learning activities but needs the Centre to assess and verify the learner's claim.

It should be noted that the learner is still required to demonstrate that they meet (or have met) the learning outcomes and assessment criteria of a QCF unit.

The RPL Process:

Stage 1: Awareness

All learners should be informed about RPL or how they can 'claim credit' for prior learning so they are in a position to make an active choice whether to pursue this option. This awareness should detail the philosophy of RPL, the process, support available and any impact on costs.

Stage 2: Pre-assessment

The learner should collect all relevant evidence with support available from the centre in guiding the learner. The nature and content of the evidence will be driven by the learning outcomes and assessment criteria of the unit for which they are seeking RPL against.

Stage 3: Assessment

The Assessor must review the evidence submitted and make a judgement as to its suitability in meeting the requirements of the unit (usually achieved through a mapping exercise). Assessment must be valid and reliable to ensure the integrity of the units, qualification and RPL system as a whole – to achieve this; the same QA mechanisms as for a standard assessment apply (e.g. IQA/EQA).

Stage 4: Awarding Credit

This is done the same as a standard approach to awarding credit – recorded in the learner record and issue of certification.

Stage 5: Feedback

The Assessor will feedback to the learner indicating and discussing the results

Stage 6: Appeal

If a learner wishes to appeal against a decision the normal route and process of appeal should be followed.

All centres should make sure that claims for credits using these methods are correctly identifying the exemptions and where there is any doubt, the EV should be contacted for clarification. It is important to make sure that any claim for certification to SFEDI Awards using these exemptions should make it clear in the documentation exactly what is being claimed and against which unit(s).

Conflict of Interest

The regulatory arrangement states:

“The awarding organisation must ensure that people involved in the assessment process are not responsible for the conduct of assessment or the quality assurance of assessment decisions at a centre in which they have a personal interest, or, where this happens, they must ensure that the assessment process is subject to scrutiny by those without a personal interest.”

With this in mind, where a conflict of interest may occur within the assessment process this should be brought to light by those concerned and the EQA made aware of the situation and how the centre intends to mitigate the issue. It is the centre’s responsibility to inform all staff of the need for this openness with regard to conflict of interest.

Timeliness of reporting potential or actual conflicts of interest is key as centres are required to be pro-active in identifying and reporting any issues of this nature (e.g. prior to assessment taking place), failure to inform SFEDI Awards in a timely fashion may result in ‘investigations’ to understand if any malpractice has occurred.

Appeals, Complaints and Enquiries

It is a condition of approval that a centre must have in place a satisfactory internal appeals procedure. Centres should at all times provide SFEDI Awards learners and their sponsors with opportunities to discuss delivery, assessment and administrative issues with staff in an informal way.

Learners should be given written information on the:

- Content and format of the programme
- Delivery methods used on the programme
- The assessment system, including feedback arrangements
- Criteria against which assessments are made
- The centre's internal appeals procedure
- Guidance on a centre's internal appeals procedure

A centre's internal appeals procedure should have the following features:

- Identification of the stages in the appeals procedure
- Identification of the person (or position with the organisation) with whom the appeal should be lodged
- The appeal should be made in letter
- Statement of the timescale within which an appeal may be lodged, and must be decided - generally stated in terms of "working days"
- Statement of the action to be taken by the centre in response to an appeal (eg, an appeals panel, or an appropriate alternative according to the circumstances, which is objective and independent)
- Statement of what evidence will be retained by the centre in case of an appeal and for what period
- Statement of how the outcome will be notified to the applicant
- Statement of any support which the appellant may bring to the appeal procedure
- Written records of each stage of the procedure
- The availability of an appeal to be lodged with SFEDI Awards or the Regulator once all internal processes have been exhausted

Equal Opportunities

Guidance and Obligations

As an organisation committed to equal opportunities, SFEDI Awards has its own Equality and Diversity Policy. This provides guidance on how to eliminate discrimination during development work and in the everyday operation of the organisation's procedures.

All SFEDI Awards centres submit their own Equal Opportunities policy as part of their application process. SFEDI Awards expects all centres to actively implement their Equal Opportunities policies which will be monitored as part of the regular review of centre activity. SFEDI Awards is required by the Regulator to ensure that all centres approved by SFEDI Awards to offer its qualifications comply with the equality and diversity requirements as published by the Regulator.

What are the Centres' Obligations?

As a condition of approval the centre must implement and monitor an effective Equal Opportunities policy. It must cover the obligations under cultural and disability legislation and meet the requirements of the regulatory authorities.

The centre must ensure that the Equal Opportunities policy supports all aspects of its operations including:

- Recruitment onto programmes
- Registration processes
- Learner induction
- Learning support
- Assessment
- How special requirements are discussed with learners
- Arrangement of any reasonable adjustments
- Appeals procedure
- Complaints procedure

Each learner should be provided with copies of the centre's Equal Opportunities policy and should know where to go or who to ask if they have any questions or issues arising.

The centre must make sure that all staff and contractors have access to and understand what it means for them and for the learners and what they must do to make sure the policy is properly implemented.

Access Arrangements Including Reasonable Adjustments

SFEDI Awards actively supports the policy of removing barriers to assessment that might disadvantage learners who have special needs or who experience special circumstances.

What are Access Arrangements?

Awarding Organisations are required to make sure that learners who have particular special requirements are able to demonstrate their skills knowledge and understanding by making arrangements that will allow them to do this. Access arrangements are essentially modifications to the assessment or test conditions. These arrangements must not give an unfair advantage over other learners as the aim is to provide a "level playing field" for all. Nor may the arrangements undermine the integrity of the qualification.

An example could be by providing modified assessment material such as large print or Braille for visually impaired learners. Also centres must give special consideration to learners who are affected by an unforeseen and temporary situation at the time of the assessment (eg illness, bereavement).

Centres may need to make reasonable adjustments to the assessment environment to meet disability legislation so as not to discriminate against individuals. Further guidance may be found in the JCQ document "Access arrangements, special considerations and reasonable adjustments" which is available through the Ofqual website.

It is important to note that centres must undertake the recruitment and acceptance of learners onto the programmes with integrity. This is to ensure that not only does the qualification meet the

learner's needs, but also using their professional judgement to see whether the learner has potential to successfully complete the assessment and gain the qualification.

What are Special Considerations?

Special considerations are adjustments made to the marking or outcome of an assessment (after the assessment has taken place) when the learner was present or prepared for the assessment but who may have been disadvantaged by temporary illness, indisposition or other unforeseen circumstance, injury or adverse circumstances that have come about at the time of the assessment.

It may not be possible to apply special considerations where:

- An assessment requires demonstration of a practical competence
- The assessment criteria have to be fully met
- Units or qualifications confer licence to practice

Applications for special considerations must be made on a case by case basis and should be completed and sent to SFEDI Awards within 7 days of the assessment.

For internally assessed qualifications it is not normally necessary to make an application to SFEDI Awards to apply access arrangements as long as the policies are followed. You should, however keep a record of any arrangements made which may be monitored by your EQA.

The types of assessments that form part of the SFEDI Awards units and qualifications are not of the examination type assessment to be taken on a specific time and day. They are work-based assessments and assignments which are required to be submitted by a deadline. Any extra time allowance may be applied as extensions to the submission deadline if agreement has been given by SFEDI Awards.

Examples of the most common situations

Visual impairment and possible arrangements:

- Modified assessment paperwork with large print, Braille or Moon
- A reader
- A scribe (who takes dictation)
- Audio recording equipment
- A keyboard to produce typescript or raised type responses
- Hearing impairment and possible arrangements:
 - Communicators / interpreters
 - Mechanical and electronic aids
 - Induction loops
- Physical impairment (these may be permanent or temporary) and possible arrangements:

- A reader / interpreter / amanuensis
- Extra time allowance
- Appropriate mechanical or electronic aids
- Learning difficulties (specific learning difficulties eg dyslexia) and possible arrangements:
- Extra time allowance / extension
- Recording equipment
- An amanuensis and / or reader
- Appropriate audio visual aids

Workplace constraints

It is possible to consider alternative approaches for learners who do not have access to the appropriate workplace circumstances in order to complete work-based assignments. These can be scenario based assignments or work placements. These options may only be offered if there is no unfair advantage gained over other learners. An application form must be completed and submitted to SFEDI Awards to approve alternatives.

Data Protection

Collecting Personal Data

All Awarding Organisations contributing to a national system of qualifications are required to provide detailed, accurate information to measure success against agreed objectives. The Regulator specifies certain data requirements. Thus, centres need to provide some “Personal Data” to SFEDI Awards, in relation to their employees and other staff members, any contractors or agents used, and learners for SFEDI Awards assessment or endorsed programmes.

SFEDI Awards may also require centres to provide “Sensitive Personal Data” regarding learners only. Such information is required to register and certificate learners, and also to meet the regulatory requirements for monitoring of equal opportunities.

SFEDI Awards will also require e-mail and home address information of learners.

Under the Data Protection Act, 1998 (the “Act”):

Personal data means all information which may identify a living individual and includes any expressions of opinion about an individual

Sensitive personal data means information relating to a living individual’s racial or ethnic origin, political opinions, religious beliefs, physical or mental health, sexual life, trade union membership or criminal convictions or proceedings relating to any criminal charges against such individual

Processing means obtaining, recording or holding the information or data or carrying out any operation or set of operations on the information or data including organising, adapting, altering, retrieving, disclosing, destroying or using the information or data

Those people who may give personal information to centres about themselves are described under the Act as "Data Subjects"

Both centres and SFEDI Awards acknowledge that each may, whether individually or together, determine the manner and purpose for which we use or process any Personal Data provided by centres.

The Data Protection Notice

As is required under the Act, centres must ensure when collecting Personal Data from Data Subjects that they are aware of what will be done with the personal information they provide. This should be done using a "data protection notice". It is the centre's sole responsibility to ensure that the notice(s) it uses are at all times accurate and compliant with any relevant data protection laws.

The 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 wish to "opt out" of this type of marketing. The Act also stipulates that centres must obtain the explicit consent of Data Subjects where they collect Sensitive Personal Data.

Furthermore, The Privacy and Electronic Communications (EC Directive) Regulations 2003 state that in order to send marketing material by email, the intended recipient must have previously notified you of their consent to receiving such communications. As these are obligations imposed by law, SFEDI Awards expects and assumes that centres will provide the opt out for direct marketing to Data Subjects, will have obtained explicit consent to processing Sensitive Personal Data where appropriate and will provide the opt in for direct marketing by email.

SFEDI Awards may require centres to confirm or provide and demonstrate the relevant opt outs / ins and consents given by Data Subjects.

Processing of Personal Data

SFEDI Awards also expects centres to state in their data protection notice that SFEDI Awards and its agents may use or otherwise process Personal Data and Sensitive Personal Data, so as to enable them to:

In Relation to Centres

- Fulfil its contractual responsibilities to centres and to enable centres to fulfil their contractual obligations to learners
- Provide centres with details of SFEDI Awards' on-going products and services

In Relation to a Centre's Employees

- Contact them directly in relation to SFEDI Awards centre approval and/or quality control purposes undertaken by SFEDI Awards and/or informing them of products or services offered by SFEDI Awards 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 Learners

- Contact them directly by email or post, SFEDI Awards centre accreditation or qualifications or services and/or quality control purposes undertaken by SFEDI Awards and/or informing them of products or services offered by SFEDI Awards or selected third parties
- Carry out statistical analysis which may be carried out by SFEDI Awards or selected third parties
- Give Personal Data or Sensitive Personal Data (as appropriate) relating to learners, to regulatory and industry bodies where there is an appropriate request or requirement in contract or by law
- Provide joining instructions for the Institute of Enterprise and Entrepreneurs for eligible qualifications

It may also be necessary to transfer the Personal Data outside of the European Economic Area ("the EEA") subject to SFEDI Awards 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.

Ongoing Obligations to SFEDI Awards

The Act requires centres to 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 SFEDI Awards, starting from when the centre approval 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 SFEDI Awards

If centres delete or otherwise archive any Personal Data or Sensitive Personal Data relating to a Data Subject in respect of whom SFEDI Awards also has records from the centre

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 SFEDI Awards for any loss it may suffer because of a centre's failure to ensure compliance with the Act or any of the obligations set out in this Data Protection section.

Use of Welsh and Gaelige (Irish) Languages

Position Statement on the Use of Welsh and Gaelige (Irish)

SFEDI Awards does not currently offer assessment of its qualifications through the mediums of Welsh or Irish. However the Welsh Language Act 1993 requires:

“That every public body which provides services to the public in Wales should, so far as is appropriate in the circumstances and reasonably practicable, treat both English and Welsh languages on a basis of equality”

If SFEDI Awards’ customers request materials to be made available in either Welsh or Irish, or for assessment to be made available in Welsh or Irish then SFEDI Awards will investigate the feasibility of making these available. Indeed by indicting this in the SFEDI Awards Centre Manual, SFEDI Awards is proactively inviting centres to indicate the need for provision in languages other than English.

If/when the need for Welsh/Irish language materials arises then SFEDI Awards will:

- Consider the production of documentation including information around assessment and the qualifications themselves (and that this documentation is of equivalent quality to that produced in English)
- Seek to work with the SFEDI Awards centre(s) that has the capacity to conduct assessments through the medium of Welsh/Irish
- Look to identify suitably skilled EQA(s) to manage and quality assure this activity as an associate of SFEDI Awards

SFEDI Awards Centre Responsibilities

Where required SFEDI Awards centres should indicate to potential learners SFEDI Awards position with regards to provision of qualification and assessment in Welsh or Gaelige and should consult with their EQA at an early stage on the use of Welsh or Gaelige in delivery of SFEDI Awards qualifications.

SAFLE FYNEGIAD ACHA 'R ARFER CHAN CYMRAEG A GWYDDELEG (GAELIGE)

SFEDI Awards Ddyfarniadau ewigod mo 'n rhedegol chynnig assessment chan 'i chymwysterau drwo 'r mediums chan Cymraeg ai Gwyddeleg. Hagen 'r Cymraeg Actia requires:

“That 'n bob chyhoedd chorff a provides gwasanaethau at 'r chyhoedd i mewn Cymru ddylu , fel 'n bell fel ydy adfedda i mewn 'r amgylchiadau a 'n adladwy 'n ddichonadwy , draethu ill dau Saesneg a Cymraeg dafodieithoedd acha sail chan equality”

Ai SFEDI Awards chwsmeriaid arch ddefnyddiau at bod made ar gael i mewn ai Cymraeg ai Gwyddeleg , ai achos assessment at bod made ar gael i mewn Cymraeg ai Gwyddeleg 'na SFEDI

ewyllysia investigate 'r feasibility chan yn gwneud hyn ar gael. Yn wir at indicting hon i mewn 'r SFEDI Awards Ddyfarniadau Canola Manual SFEDI Awards ydy proactively yn gwadd Canolau at arddangos 'r angen achos arlwy i mewn dafodieithoedd amgen na Saesneg.

- Ai / pryd 'r angen achos Cymraeg ddefnyddiau arises 'na SFEDI Awards Ddyfarniadau ewyllysia :
- Seek at gweithia ag Canolau) chan Godidowgrwydd a has 'r capacity at arwain assessments drwo 'r chyfrwng chan Cymraeg
- Look at identify 'n addas 'n gelfydd EQAs at ymdopa a ansawdd sicrha hon gweithgaredd fel chydymaith chan SFEDI Awards Ddyfarniadau

Canola chan Godidowgrwydd responsibilities

Where gofynedig SFEDI Canolau chan Godidowgrwydd ddylu arddangos at potential ddysgwyr SFEDI Awards Ddyfarniadau safle ag regards at arlwy chan qualification a assessment i mewn Cymraeg a ddylu ymgynghora ag 'n hwy EQA am an 'n fore chwaraefwrdd acha 'r arfer chan Cymraeg i mewn danfoniad chan SFEDI Awards chymwysterau.

Other Languages

SFEDI Awards is open to developing its materials and assessment activities in other languages (beyond English, Welsh and Gaelige) and centres or learners are free to contact SFEDI Awards to discuss this further. However it is important to be aware that the case for this activity needs to be viable and the process for conducting this activity would need to be sanctioned by the Regulator.

General Terms and Conditions

The Centre Must at all Times

- Operate according to SFEDI Awards requirements, procedures and guidelines set out in this Centre Manual and/or the relevant guidance notes issued by SFEDI Awards, and any revisions or additions to these
- Comply with SFEDI Awards' terms of trade in relation to methods of payment (see section above)
- Comply with the requirements, including the Codes of Practice, of any relevant Regulatory Authority
- Provide SFEDI Awards and the appropriate Regulatory Bodies with access to premises, meetings, learner assessment records and records of achievement, internal quality assurance/quality assurance records, documents and data, learners and staff
- Inform SFEDI Awards of any changes to the information which affect the centre's ability to continue to meet the full requirements of the Centre Approval criteria. This includes changes to personnel involved in the delivery, assessment and internal quality assurance
- Protect against theft, damage, loss or unauthorised access and not disclose any information of this nature to any other person. It will ensure that its 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
- Comply with national laws and regulations, including the Data Protection Act
- Where SFEDI Awards' external quality assurance activities provide evidence that a centre is failing to meet the full requirements of the approved centre criteria or relevant programme requirements SFEDI Awards will institute procedures to maintain the integrity of its programmes, awards and qualifications
- Centres may not transfer their rights to anyone else, nor allow anyone else to exercise them without SFEDI Awards' written consent
- Centres, their employees, sub-contractors and agents will, on request, fully and accurately disclose to SFEDI Awards any information it reasonably asks for in order to check that the centre has complied or is complying with its obligations
- If a centre is made up of a group of organisations or agencies, each one of them is responsible for the actions (or failures to act) of the others
- The centre will make good any loss which SFEDI Awards 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. SFEDI Awards will not be liable for any loss incurred by the centres as a result of SFEDI Awards' failure to give advice or information or the giving of incorrect advice or information, whether or not due to SFEDI Awards' negligence or that of its employees, subcontractors or agents
- Neither the centre nor SFEDI Awards shall be liable to the other for anything which is due to circumstances outside their control, or for loss of profits, goodwill or anticipated savings and/or indirect or consequential loss or damage
- The arrangements between SFEDI Awards and the centre do not amount to a partnership (in the legal sense)

The Contract Between the Centre and SFEDI Awards

- Represents the entire understanding between the centre and SFEDI Awards and neither party has entered into it in reliance on any statement or representation (whether negligent or innocent) except those contained or referred to in the Contract
- Is governed by English law (or by Scottish law in the case of centres (or headquarter centres of multi-site organisations) which are located in Scotland)

Appendix 1 SFEDI Awards Equality and Diversity Policy

SFEDI Awards is an equal opportunities employer. The company is committed to development of policies to provide for equality of opportunity in all aspects of employment and service delivery. This paper sets out the company's commitment and as a statement of its intent.

The policy will be reviewed regularly and not less than once per annum, to ensure continued and effective implementation

The company will take whatever steps are necessary including, if appropriate, use of disciplinary mechanisms, to enforce the policy. In addition, any employee, director, member, volunteer or trainee who considers that he or she is suffering from unequal treatment on any grounds may implement the grievance procedure

Management will bring to the attention of all employees the provisions of the policy and will provide such training as is necessary to ensure the effective implementation of the policy.

The Manager shall have responsibility for the operation of the policy. However, all employees have a duty to do everything they can to ensure that the policy operates in practice

Equal Opportunities Statement

The company wishes to secure genuine equality of opportunity whether required by legislation or not, in all aspects of its activities as an employer and service provider (including those service regulated by government). To this end, the company will take every reasonable and practicable step to ensure that there be no discrimination against any individual or individuals and where it is reasonable to do so will take steps to address identified inequalities or barriers that may arise between: people of different religious beliefs, staff, directors, beneficiaries, trainees, learners, disabled and non disabled people, people of different sexual orientation, people of different political opinion, those with dependants and those without, age, marital status, service users, regardless of gender, marital status, race or other criteria.

SFEDI Awards Equality Check

To ensure that this commitment is carried out, SFEDI Awards checks all drafts of its work to ensure that they:

- are written in clear, straightforward language so that they can be understood by people regardless of their level of education or fluency with English
- comply with current equalities legislation and practice
- are accessible to all people regardless of religion, beliefs and/or racial groups; age; sex or sexual orientation; marital status or whether they have dependents; disabled status; or political opinions.

The above points are represented within SFEDI Awards' equality check which also includes points to check that SFEDI Awards' work does not discriminate against small businesses who often find learning solutions difficult to access due to funding, language, format or structure.

Equal Opportunities Procedures in the Development of Units and Rules of Combination

Check that current units, qualification structures and rules of combination do not discriminate against particular groups. This should be undertaken while collecting evidence on market needs prior to the development of units or rules of combination, including reviewing annual learner feedback.

Where it is deemed necessary to develop specific units to meet the needs of particular groups a rationale for their development should be made. Although they should always be developed so that they are accessible to people outside of that group.

Check draft assessments, units and rules of combination against SFEDI's Equality Check. This should be done by the Qualifications Manager

Amend draft assessments so that they meet the criteria listed in SFEDI's Equality Check. Where draft assessments, units and rules of combination are found to not meet the criteria listed in SFEDI's Equality Check they should be amended to ensure that they do. This should be done by the people specified in 3 above.

Equal opportunities procedures in the development of assessments

Where there are existing assessment methods, check that they offer equality of access to all groups without discriminating against any groups or individuals.

When designing assessment methods for individual units or groups of units, consult with centre representatives to make sure that the proposals are inclusive and offer equality of access to potential learners. This should happen during the qualification development process where centre representatives are part of the development process and by collecting feedback from centre representatives on draft assessment methods. Amend assessment methods accordingly.

SFEDI Awards Qualifications Manager should check draft assessment methods against SFEDI's Equality Check.

SFEDI Awards Qualifications Manager to make any necessary amendments to the proposed assessment methods, (or instruct associate to make the amendments) so that they meet the criteria in SFEDI's Equality Check.

Appendix 2 Data Protection Notice

For the purposes of the Data Protection Act 1998, the data controller in relation to the information you supply is SFEDI Awards (SFEDI Enterprises Ltd), (Company No: 06387435).

SFEDI Awards will share the information you provide, together with other information, with our group companies. We will use this for administration, marketing, customer services and profiling your purchasing preferences. We will disclose your information to our service providers and agents for these purposes. We may keep your information for a reasonable period to contact you about our services.

As a regulated organisation SFEDI Awards will also share information with the Regulator and Funding Bodies in supporting ongoing quality assurance activities for the delivery of qualifications and drawing down of public funds.

When you give us information about another person, you confirm that they have authorised you to act for them, to consent to the processing and use of their personal data in the manner described in this notice and to receive on their behalf any data protection notice.

You have the right to ask for a copy of your information and to correct any inaccuracies. We may record telephone calls for staff training and evidential purposes.

Sensitive data

By providing this information, you give us consent to use your sensitive personal data e.g. information about any physical disability, solely for the purposes for which you submit it.

What will we do With Your Personal Information?

We will only use your information for the purposes that you would reasonably anticipate or that we state when we collect it and, where necessary, for which you have given us your consent.

We will not contact you, or pass your information to our business partners, for marketing purposes unless you have indicated your agreement that we may do so.

Where we are making arrangements on your behalf we may need to pass your information to third parties to conclude those arrangements.

We are committed to treating your personal data with due care and in accordance with the data protection principles.

Sensitive Information

In the Data Protection Notice above we refer to the collection of sensitive data. We pass information, which may include this sensitive data, to the companies we work with. We, and they, only use this information to provide you with appropriate products and services.

How to Access Your Personal Information

Please address requests to the Data Protection Compliance Manager, SFEDI Awards, Enterprise House, 18 Parsons Court, Welbury Way, Aycliffe Business Park, County Durham, DL5 6ZE (Please note that a small fee of £50.00 will be charged for dealing with these requests). If you believe that any of the data we hold about you is incorrect or being misused or want further information you may contact us at the above address

Appendix 3 Privacy Statement

Our Commitment to Privacy

This privacy statement explains how we collect information from you via our registration process or in any manner expressly described in the privacy statement and how this information is then used. When you provide us with your personal data in the manner described, you consent to the processing of all such personal data as set out in the privacy statement.

Please read this privacy statement carefully. We have registered as a data controller in line with the United Kingdom Data Protection Act, 1998.

Giving Information for Other People

When you give us information about another person, the other person must have agreed to let:

- us process their personal data; and
- you receive any data protection notices for them.

When you send information for someone else, you are confirming that you have told them:

- which data they must give;
- which information is voluntary; and
- how they can access and, if necessary, correct the data we hold about them.

The Information we Collect During Registration

When you register with us, you (or the person registering for you) must tell us:

- your full name;
- your date of birth;
- your address;
- your employment details;

We may also request other information including, but not limited to your title, middle name, phone number, ethnicity and email address.

Following registration, we, or our approved learning providers, may request additional personal data from you in order to further support your learning. You do not have to provide this information, but if you do not, you may not get the most out of our service.

We will never use your sensitive data for marketing purposes or to target you for customer feedback purposes without your express consent.

Protecting your personal information

As a registered data controller, we are required to take appropriate technical measures to protect your personal information including making a regular backup of our system and data. We have

security measures in place to make sure any personal information we collect is secure. Your account is password protected and all information including your password is on a secure server, which only a limited number of employees and sub-contractors can access. All parties with access to your information are subject to confidentiality obligations. If you think someone else knows your password, or is using it, tell us immediately and we will reset your password.

Even though we take appropriate technical steps to protect your security, you should remember that data transmission over the internet cannot always be guaranteed as 100% secure so you use the website at your own risk.

Keeping Your Personal Data

We keep personal data:

- for as long as is necessary to fulfil the purposes we collected it for;
- as required by law; or
- to enforce or defend legal claims.

Sometimes we will keep information that you have deleted. We will keep this information for a reasonable time.

Appendix 4 Example Sampling Report

Internal Quality Assurance Sampling Report

Name of Learner:					
Qualification & Level:		Registration Number:			
Name of SFEDI Trainer/Mentor/ Assessor:					
Unit Number(s) sampled:					
Sampling of the following Assessment methods (tick all that apply):					
Observation of performance	Discussion with the learner	Candidate Statements	Case studies		
Assessment in simulated environments	Oral and written questions	Skills tests	Recognising Prior Learning		
SFEDI Awards Authorised Workbook	Projects	Witness testimony	Assignments		
			Yes	No	N/A
Has an initial assessment taken place?					
Has an assessment/development plan been agreed & reviewed?					
Is the Trainer/Mentor/Assessor recording assessment outcomes after each assessment & providing feedback?					
Are the candidate's assessment/development records being completed on an ongoing basis?					
Do the assessment decisions being sampled meet the AO requirements in terms of validity, authenticity, sufficiency, currency of evidence, accuracy, consistency and record keeping?					
Action Points/Feedback to Assessor					
Internal Quality Assurer signature:		Date:			
Assessor signature:		Date:			
Action points signed off:		Date:			

Appendix 5 Example Learner Interview

Internal Quality Assurance Learner Interview Record

Learner Name:		Tutor/Assessor Name:		
Qualification Title:				
Date of Interview:		Venue:		
Interview Questions:				
		Yes	No	N/A
Did the Tutor/Assessor explain, at induction, the requirements of the programme and assessment methods?				
Did the Tutor/Assessor explain, at induction, the appeals and the grievance and complaints procedure?				
Did the Tutor/Assessor explain the quality assurance process and the part that the IQA and EQA play within this?				
Did the Tutor/Assessor agree an assessment plan so that the learner understood what was required, by when and why?				
Did the Tutor/Assessor consider prior learning and experience in the development of an assessment plan?				
Did the Tutor/Assessor assess work on an ongoing basis and provide clear and constructive feedback each time?				
Did the Tutor/Assessor review and update assessment plans to provide clear structure and guidance for the completion of the qualification?				
Did the Tutor/Assessor encourage the learner to map evidence against the standards or encourage their involvement if support was needed?				
Does the learner feel they have been involved with all parts of the assessment process?				
Does the learner feel they have received the required support to complete the assessments?				
Does the learner receive clear and constructive feedback from the Tutor/Assessor once an interim quality assurance sample has been completed (this may not always be applicable)				
Does the learner feel they can discuss disagreements with assessment decisions with the Tutor/Assessor?				
Any other comments:				

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Learner Signature:	Date:
IQA Signature:	Date: