Centre assessment

Quality Assurance Standards

Version 1.1
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For external use

Version control

This is version 1.1 of the City & Guilds/ ILM Quality Assurance Standards: Centre assessment document. It is the centre's responsibility to ensure that all staff involved in the provision of City & Guilds/ ILM qualifications and/ or assessments familiarise themselves with this version of the document.

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This document incorporates information from, and replaces the Our Quality Assurance Requirements document

Version Number	Purpose/Change	Author	Date
1.1	Inclusion of 'Ofqual and Centre Assessment Standards Scrutiny (CASS)' **Section 1.6** Inclusion of 'Electronic assessment records and e-portfolios' **Section 2.5** Inclusion of 'Artificial Intelligence (AI) guidance from the Joint Council for Qualifications (JCQ)' **Section 2.9** Update to **Section 4.2.3** 'CAMERA' rationale/strategy		26.06.2023

Contents

1. Section 1: Introduction

1.1. Quality assurance standards

As a result of us revising and aligning our quality assurance policies, processes and guidance across City & Guilds/ ILM, we now have a single set of clear, consistent standards for customers delivering our qualifications and assessments.

Our Quality Assurance Standards suite of documents sets out a comprehensive model covering our range of assessment methods and related quality assurance activities, to ensure the validity and reliability of assessment outcomes for learners.

1.2. Purpose and scope

Where assessments are marked by centres, we need to be sure that standards are being applied accurately and consistently. We undertake quality assurance monitoring activities to ensure that assessment judgements are valid, reliable and that learners are not advantaged or disadvantaged.

This document sets out the minimum common quality assurance requirements for our regulated and non-regulated qualifications that feature centre assessed components. Specific guidance will also be included in relevant qualification handbooks and/ or assessment documentation.

It incorporates our expectations for centre internal quality assurance and the external quality assurance methods we use to ensure that assessment standards are met and upheld. It also details the range of sanctions that may be put in place when centres do not comply with our requirements, or actions that will be taken to align centre marking/ assessment to required standards. Additionally, it provides detailed guidance on the secure and valid administration of centre assessments.

This document is for use by all approved centres. All staff involved with the delivery and quality assurance of centre assessments should familiarise themselves with its contents. This document should be used in conjunction with the other documents in the Quality Assurance Standards suite, as well as any other relevant qualification and assessment documentation.

For information on externally marked examinations, centres should refer to the following documents:

- JCQ Instructions for conducting examinations

- Functional Skills 4748 Mathematics and English Level 1 and 2: Instructions for conducting examinations
- Essential Skills (4800): Communication and Application of number: Instructions for conducting examinations

Please note, this document does not cover End-point assessments, or our Assured service.

1.3. Quality assurance

Quality assurance is how we validate that centre assessment judgements accurately reflect learners' skills, knowledge and understanding. This helps ensure public confidence in learner results and guarantees our vocational qualifications can meaningfully support learner progression into employment, further and higher education.

Quality assurance activities are the checks and balances we put in place to ensure centres deliver assessments in line with our published standards and can accurately evidence this when subject to external scrutiny. It also means that we check the accuracy of centre assessment judgements, and provide feedback, improvement actions, or adjustments where necessary.

Consistent and effective quality assurance requires us to work closely with our centres. As such, our quality assurance model encompasses

- internal quality assurance (activities and processes undertaken within approved centres) and
- external quality assurance (activities and processes undertaken by City & Guilds/ ILM).

We operate a risk-based approach to quality assurance, where the frequency and type of monitoring activities are based upon the type of qualification, the assessment methods, as well as the risks presented at centre and/ or qualification level.

1.4. Centre assessment

For some qualifications, certain assessments are internally assessed by the centre and externally quality assured by us. In these instances, centres are best positioned to accurately assess learner skills and knowledge. These types of assessment have certain attributes in their design that lend themselves to internal centre assessment, that may include:

- a significant practical element
- the generation of brief evidence
- assessment that takes place over time
- holistic marking, taking in all aspects of learner performance across a range of tasks.

Where assessment judgements are made by centres, it is vital that common standards are met across all centres delivering the qualification. As such, centre quality assurance activities and our external monitoring play an equal part in maintaining assessment standards and ensuring the validity of learner results.

We operate two external quality assurance methods for centre assessments, verification and moderation, which are detailed in Section 4. The type of quality assurance method we use will depend upon the specific attributes of the assessment and will be indicated in the relevant qualification and/ or assessment material.

1.5. Regulatory requirements

The following documents set out the regulatory requirements for awarding organisations in relationship to their approved centres:

- Ofqual General Conditions of Recognition (England)
- SQA Accreditation's Regulatory Principles (Scotland)
- Qualifications Wales Criteria for Recognition (Wales)
- CCEA General Conditions of Recognition (Northern Ireland)

Centres must meet City & Guilds/ ILM quality standards, to maintain regulatory compliance.

1.6. Ofqual and Centre Assessment Standards Scrutiny (CASS)

Approved centres must have effective quality assurance systems to ensure optimum delivery and assessment of qualifications. Quality assurance includes initial centre approval, qualification approval and the centre's own internal procedures for monitoring quality. Centres are responsible for internal quality assurance and City & Guilds is responsible for external quality assurance. All external quality assurance processes reflect the minimum requirements for verified and moderated assessments, as detailed in the Centre Assessment Standards Scrutiny (CASS), section H2 of Ofqual's General Conditions. For more information on CASS and City and Guilds Quality Assurance processes visit: the <u>Quality Assurance page on City & Guilds website</u> and review the <u>Quality Assurance Standards</u> documents, in the 'Quality Assurance' drop down on City & Guilds Centre Documents web page.

Standards and rigorous quality assurance are maintained by the use of:

- Internal quality assurance
- City & Guilds external quality assurance.

To carry out the quality assurance role, Internal Quality Assurers must

- have appropriate teaching and vocational knowledge and expertise

- have experience in quality management/internal quality assurance
- hold or be working towards an appropriate teaching/training/assessing qualification
- be familiar with the occupation and technical content covered within the qualification.

External quality assurance for the qualification will be provided by City & Guilds External Quality Assurance (EQA) process. External Quality Assurers (EQAs) are appointed by City & Guilds to approve centres, and to monitor the assessment and internal quality assurance carried out by centres. External quality assurance is carried out to ensure that assessment is valid and reliable, and that there is good assessment practice in centres.

The role of EQAs is to:

- provide advice and support to centre staff
- ensure the quality and consistency of assessments and marking/grading within and between centres by the use of systematic sampling
- provide feedback to centres and to City & Guilds.

2. Section 2: Assessment

2.1. Assessment administration

Centres are responsible for administering internally marked assessments according to published City & Guilds/ ILM requirements, ensuring

- they are delivered securely and safely
- learners are neither advantaged nor disadvantaged
- the relevant external quality assurance monitoring can be undertaken.

Qualification and/ or assessment documentation includes information and guidance on how to administer assessments, including:

- the levels of control under which the assessment must be administered
- any assessment-specific forms and documentation that must be used
- the levels of assessor support permitted
- any required equipment or resources.

It is the centre's responsibility that anyone involved in the delivery of our qualifications and assessments is familiar with the relevant qualification and assessment documentation.

External quality assurance monitoring activities include:

- checking that published assessment and internal quality assurance requirements have been met
- verification and/ or moderation of centre-marking
- issuing of appropriate sanctions, actions and adjustments in instances of non-compliance.

2.2. Assessors

Centres must appoint sufficient Assessors for each qualification they are approved to offer, to carry out centre marking and assessment judgements. They are responsible for:

- assessing evidence of learner competence/ capability against qualification standards, assessment criteria or mark schemes
- engaging with required IQA activities, including training, standardisation and ongoing internal sampling
- managing the assessment system, from assessment planning to recording assessment decisions against qualifications and/ or assessments
- ensuring that learners' evidence is valid, authentic, sufficient, reliable and current

- maintaining accurate and verifiable learner assessment and achievement records in line with requirements
- ensuring that learners are assessed only after they have been registered with City & Guilds/ ILM
- responding to any feedback, improvement actions or adjustments as the result of external verification or moderation.

Centres must provide appropriate training, support and/ or development opportunities to enable Assessors to meet their responsibilities. Assessors must be given sufficient time to fulfil their duties.

2.3. Assessor requirements

This section details the assessor requirements that we will monitor as part of external quality assurance activities.

- Centres must recruit sufficient, suitably qualified Assessors and IQAs to meet the volumes of learners undertaking assessments.
- Assessors and IQA's must have relevant current or real industry experience and competence of the occupational working area at or above the level being assessed unless the relevant qualification handbook states otherwise. Centres must always check the qualification handbook, as the information in it will take precedence.
- Centres must ensure that Assessors are competent to perform their role and provide appropriate training and development opportunities to ensure they meet the required standards set out in the qualification and/ or assessment documentation.
- Centres must ensure that assessment arrangements comply with those detailed in the qualification and/ or assessment documentation.
- Assessors must complete effective internal standardisation activities to ensure they are applying marking schemes and making assessment adjustments consistently and accurately. These activities must be run by centre IQAs/ lead assessors.
- For some qualifications, the assessment decisions of unqualified Assessors must be checked, authenticated and countersigned by an Assessor or Internal Quality Assurer (IQA) who is appropriately qualified and occupationally competent. Where this is required, it will be specified in the relevant qualification and/ or assessment materials.
- IQAs may only quality assure evidence that they did not assess or countersign, and this must be carried out before centres can claim certificates.
- Assessors and learners must provide a written/ electronic declaration that learner evidence is authentic, and that assessment took place under the conditions or context set out in the qualification and/ or assessment documentation.
- Centres must ensure that any potential conflicts of interest with learners are identified. Assessors must not assess family members.

2.4.   Assessment decisions and records

Centres must set up and maintain reliable, auditable quality assurance systems for documenting centre marking and assessment records.

Centres must keep adequate records to track learner progress and allow for the independent authentication of certification claims, and external quality assurance. These records must include the following:

- A list of all learners registered for each qualification offered, including their:

  – name, date of birth and contact details(including address, telephone number and email address)
  – workplace address and details (where applicable)
  – starting date at the centre
  – date of registration with the awarding organisation
  – learner registration number
  – Unique Learner Number/Scottish Learner Number (if applicable)
  – Assessors' and tutors' name(s)
  – Internal Quality Assurer's name(s).

- Learner assessment records detailing:

  – Assessor details
  – when assessment took place
  – the assessment decision
  – the assessment methods
  – the storage location of relevant supporting evidence
  – any access arrangements or special considerations granted.

- Records of internal quality assurance activity detailing:

  – IQA details
  – When internal quality assurance took place
  – the sampling strategy, including the sample selected and the rationale for choosing that sample.
  – details of IQA standardisation meetings, along with any evidence of internal updating Assessor support meetings
  – Assessor and IQA competence, including copies of certificates, CVs and records of their continuing professional development, relevant qualifications and their monitored progress towards required qualifications.
  – records of certificates claimed – who claimed them and when
  – evidence that any TQT/ GLH requirements have been met (if required in the relevant qualification and/or assessment materials).

– records of learner appeals and complaints – who appealed/ complained, about what, when, and the outcome.

2.5. Electronic assessment records and e-portfolios

Electronic assessment records and e-portfolios are increasingly being used to support the assessment and associated quality assurance record keeping, as well as the collation of learner evidence.

The following table details the requirements for centres using e-portfolios and electronic record keeping. It should be noted that centres must adhere to the same quality assurance requirements for electronic assessment records and e-portfolios as with paper-based ones.

Centres are responsible for allocating EQAs to the learner portfolio/evidence/records.

Centres staff are required to support EQAs to navigate the evidence within the e-portfolios.

Requirement	Explanation
Assessment tracking systems and audit trails	There must be a clear assessment tracking system that enables an audit trail of the assessment and internal quality assurance process. It will be made clear who is allowed access for the purpose of tracking learner progress, e.g. named Assessors, Internal Quality Assurer(s) and EQA(s).
Monitoring learners' progress	The system must provide for instant achievement summaries, as well as audit trails of learner, Assessor, Internal Quality Assurer and EQA activity on the system. There will be facilities to enable the Assessor, Internal Quality Assurer and EQA to input comments on the learner's progress and achievements to date.
Retention of assessment records and learner evidence	As with traditional paper-based records, these must be kept in accordance with regulatory requirements. For example, learner assessment records must be kept for a minimum of three years. Records must also be kept in accordance with all applicable Data Protection Legislation.
System failure	Where e-portfolio systems are used by centres, the centre must have suitable arrangements for the archiving and backup of their records in place, in case of system failure.
Ownership	The content of the e-portfolio remains the property of the learner, but it is the responsibility of the centre to ensure that the e-portfolio and associated assessment records are available for viewing by the EQA until their visit has taken place following certification.

Security systems	Centres must have a security system to prevent the changing of records and evidence by unauthorised people. There must be measures in place to ensure that evidence and assessment decisions are authentic. Only authorised personnel will have access to assessment records and learner evidence, with access available only through the use of unique user passwords.

2.6. Minimum period for retaining records

Centres must hold these records as soon as a learner is registered and then retain them for a minimum of three years following certification in case any issues arise. These records must be made available to City & Guilds/ ILM upon request. If relevant regulatory authorities make a request to see these records, either directly to the centre or via City & Guilds/ ILM, they must be made available.

2.7. Access arrangements

Where learners undertaking centre assessments require access arrangements, these must be requested and approved prior to the assessments being taken. Detailed information on this process is available in the **Access arrangements - When and how applications need to be made to City & Guilds** document, available on the website.

2.8. Malpractice

'Malpractice' means any act, default or practice which is a breach of the regulations or which:

- gives rise to prejudice to learners; and/ or
- compromises public confidence in qualifications; and/ or
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; and/ or
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre.

Malpractice includes maladministration and instances of non-compliance with the regulations.

'Maladministration' is defined as any activity, practice or omission which results in centre or learner noncompliance with administrative regulations and requirements. For example, persistent mistakes or poor administration within a centre resulting in the failure to keep appropriate learner assessment records.

Failure to report suspected malpractice and/ or to co-operate with follow up activity may lead to awards not being made, certificates not being issued, future entries and/ or registrations not being accepted or withdrawal of qualification and/or centre approval.

For further information on malpractice and how to report it, please refer to the City & Guilds **Managing cases of suspected malpractice in assessment and examinations** document, available on the website

2.9. Artificial Intelligence (AI) guidance from the Joint Council for Qualifications (JCQ)

ChatGPT and other forms of AI could be used by learners. To support centres, the JCQ (of which City & Guilds is a member) has shared guidance to help avoid misuse.

While the potential for learner AI misuse is new, most of the ways to prevent or mitigate the risks of misuse are not. Centres will already have established measures in place to ensure that learners are aware of the importance of submitting their own independent work for assessment and for identifying potential malpractice.

The JCQ guidance reminds centres and assessors of best practice in this area, and helpfully applies it in the context of AI use. Centres need to:

- Explain the importance of learners submitting their own independent work
- Ensure that assessors are familiar with AI tools and their risks
- Ensure that learners acknowledge the use of AI when used
- Explain that misuse of AI tools is malpractice

Within the document, there is a list of potential indicators of AI use that may help identify work where learners have misused AI.

For further information please visit the JCQ website where the JCQ AI use in Assessment Guidance can be found.

3.   Section 3: Internal Quality Assurance

3.1.   Internal Quality Assurance (IQA) introduction

IQA by centres is a key component of our quality assurance model. Robust internal quality assurance procedures and activities help ensure that centre assessment decisions are valid, reliable and aligned to the relevant qualification/ assessment standards.

IQA focuses centre responsibilities to ensure:

- an appropriate designed programme of centre activities to meet our qualification and assessment requirements
- delivery of effective teaching that meet learner expectations
- accuracy of assessment decisions between assessors
- assessors are consistent in their interpretation of qualification/ assessment standards
- maintenance of a documented audit trail to enable verification and moderation, certification and distribution to learners
- monitoring, review and self-evaluation for continuous improvement.

3.2.   IQA role and responsibilities

IQA are the one of the key drivers of quality assurance for centre assessment. They monitor the work of all assessors involved with a particular qualification to ensure they are applying the standards consistently throughout assessment activities.

There are four main aspects to the IQA role:

- plan, operate and evaluate internal assessment and quality assurance systems
- support and develop tutors and/ or assessors
- monitor and improve the quality of assessment practice
- apply policies, procedures and legislation to meet external/ regulatory requirements.

IQAs must have, and maintain, an appropriate level of occupational competence (refer to relevant qualification documentation). For competence-based qualifications that are quality assured by verification, IQAs must hold, or be working towards, the appropriate IQA qualifications and occupational competence, as approved and specified by the regulatory authorities within the required timescales of starting their role. For some qualifications this is not a requirement but a recommendation. In these instances, this will be indicated in the relevant qualification and/ or assessment materials.

Where required, centres will have a lead IQA, who is responsible for steering all centre IQA processes and performance managing the team of IQAs.

Centre IQAs are responsible for:

- regularly planning sampling activities, and sampling (throughout and before certification) the evidence of assessment decisions made by all Assessors across all assessment methods, including observation of practice against competence-based qualifications
- planning and facilitating standardisation sessions for all assessors, to ensure consistency and reliability of assessment decisions
- regularly observing practical assessments, viewing learners' work, and sampling assessor judgements
- maintaining up-to-date records of internal sampling and monitoring activity, ensuring that these are available, upon request, for external quality assurance
- monitoring and supporting the work of Assessors
- facilitating appropriate staff development and training for Assessors
- ensuring that any action and/ or improvement that we specify, as a result of external quality assurance activities, is carried out/ met within the agreed timescales.

Centres must ensure that IQAs are competent to perform their role and have sufficient time to fulfil their duties. They must provide appropriate training, support and/ or development opportunities to ensure that IQAs meet the requirements set out in the qualification and/ or assessment documentation and must keep auditable records for external quality assurance.

IQAs may carry out assessment at the centre, but only if they have the qualifications and occupational expertise specified for Assessors in the qualification and/ or assessment documentation. IQAs may only quality assure evidence they did not assess.

3.3. IQA strategy and centre assessment

Centres are required to have an IQA strategy in place as part of centre/ qualification approval, detailing how they will monitor and maintain the quality, consistency and integrity of the delivery and assessment of City & Guilds/ ILM qualifications. This helps develop and embed a standardised approach to quality assurance practice for assessments within the centre.

The IQA strategy must cover arrangements to support robust centre assessment judgements, including:

- Selection, recruitment, induction and standardisation of sufficient assessors and IQAs to meet qualification/ assessment requirements.
- Qualifications, continuing professional development (CPD) records and evidence of up-to-date occupational competence for Assessors and IQAs for each assessment/ qualification.
- Systems and documentation for capturing centre assessment judgements and internal quality assurance activities relating to them.

- The hierarchy of assessors and IQAs for assessments/ qualifications, including who has responsibility for upholding and maintaining the relevant standards.
- Details of planned standardisation activities, that reflect the relevant assessment and external quality assurance methods.
- Methods and proposed timetable for internal sampling and monitoring of assessment judgements for each assessment/ qualification.

Centres should review the IQA strategy considering any changes or updates to qualifications and/ or assessments, to ensure they continue to meet quality assurance requirements.

The IQA strategy and its implementation will be subject to external review as part of ongoing external quality assurance monitoring to assess its effectiveness in maintaining standards.

3.4. Internal standardisation

Standardisation is an essential part of internal quality assurance, ensuring that assessors are making consistently valid and reliable assessment judgements. Centres must therefore support and facilitate IQAs in undertaking robust and effective internal standardisation of their assessors for all centre assessments.

IQAs and/or Lead Assessors are responsible for devising and leading standardisation activities. The internal standardisation process is as follows:

- Standardisation is required for each centre assessment and must include all assessors.
- Standardisation must always take place using complete learner evidence from the current assessment.
- A sample of learner work should be chosen that gives a representation of the range of performance expected, which all assessors will mark individually.
- Assessors will then come together to collectively discuss any discrepancies in awarding marks/ grades and come to a consensus in interpreting the standards, assessment criteria or mark schemes. This discussion will be facilitated by the IQAs.
- If there is any disagreement, IQAs have the final decision. There should not be an 'agreement to disagree', a final mark/ grade must be agreed.
- Assessors are encouraged to keep notes during standardisation and develop shared reference material to support them in maintaining the agreed standard throughout the assessment process.
- Once the standard has been agreed, for written evidence, further common pieces of evidence should be marked to confirm closer agreement has been reached. For practical assessments centres could use recorded practical assessments that assessors will mark or could have initial assessments dual assessed.

4.   Section 4: External Quality Assurance methods

4.1.   External quality assurance of centre marking

All centre assessments are subject to external quality assurance by City & Guilds/ ILM. We use two main quality assurance models to monitor the delivery of centre assessments and ensure that assessment judgements are valid, authentic, current and sufficient. These are **verification** and **moderation**. The type of external quality assurance method will be indicated in the relevant qualification and/ or assessment documentation.

Although different in approach, they operate under the same core principle; that we will sample centre marking, learner evidence, assessment records and IQA evidence to ascertain the consistency and accuracy of centre assessment judgements. Where necessary assessment decisions may need to be revised or adjusted, following our external quality assurance.

This section will detail the requirements, types of activities and potential sanctions for each method.

4.2.   Verification

Verification is a quality assurance method for centre assessments involving external scrutiny of a range of evidence, including learner evidence, assessor and IQA records to ascertain the accuracy of centre assessment judgements. It is a system that focuses on centre assessors' ability to make accurate assessment decisions and maintain standards, rather than checking each learner result.

Centre assessments that are verified usually allow centres to register and certificate learners themselves, provided they can consistently evidence the required assessment standard.

Our External Quality Assurers (EQAs) undertake monitoring activities and sample evidence, providing feedback to centres. This feedback will include, where necessary, action plans and/ or improvement points actions with timescale for centres to complete them, where relevant. Centre Assessors and IQAs must respond to any actions within the agreed timescale, adjusting the accuracy of their centre assessment judgements accordingly. We will withhold centres' ability to register and/ or certificate learners, depending on the severity of the identified issue.

Centres are assigned a Qualification Approval Risk (QAR) status for each qualification based upon the outcomes of external verification. Centres are measured against our centre and qualification approval criteria, and their ongoing ability to meet them. This QAR status

(detailed in section 4.2.4) determines centres ability to register and/or certificate learners. It also determines the frequency and focus of external monitoring and sampling activities.

Assessments that are quality assured using the verification model have the following characteristics:

- Quality assurance monitoring and sampling can take place throughout the assessment process.
- Depending on their qualification approval risk status, centres can claim certificates themselves, upon learners' successful completion of all units/ components for a qualification (although all centres newly approved to offer a qualification are subject to verification activities prior to their first claiming of certificates).
- Centres can adjust their marking following feedback from external quality assurance activities.
- Certificates will be revoked where external verification identifies inaccurate assessment judgements and incorrect results.
- Learner samples are identified using CAMERA principles (see 4.2.3).

4.2.1. External quality assurers

Verification activities are undertaken by trained and qualified External Quality Assurers (EQAs), contracted by City & Guilds/ ILM. These monitoring and sampling activities could be remote or face-to-face. EQAs are standardised for each assessment they verify, ensuring that they understand the required standards and can scrutinise centre assessment judgements against them.

EQAs are responsible for:

- sampling learner evidence
- sampling assessment and IQA records and outcomes
- confirming compliance with quality assurance requirements
- providing feedback, improvement points, actions plans and timescales for completion
- observing centre assessment and IQA activities
- supporting centres with qualification and assessment delivery queries.

4.2.2. EQA monitoring activities

EQA monitoring activities will either take place as face-to-face centre visits or remotely.

Face-to-face visits are used when the monitoring activity requires an EQA to be present in the centre and could take place for any of the following reasons:

- where centre systems and resources are being scrutinised for the observation of practical assessments with IQA activity taking place
- a centre has a high QAR status
- qualifications have special monitoring requirements, e.g. safety critical qualifications and licence to practise.

Remote activities are used where the type of monitoring does not require an associate to be in the centre, e.g. where they are scrutinising written materials, or when interviewing centre staff. Where face-to-face activities cannot take place at the centre (e.g. for large-scale incidents that impact centres beyond their control) they may be undertaken remotely using online meeting software.

The frequency of EQA monitoring activities is determined for each centre by a risk-based approach that considers various factors that may impact the validity and reliability of centre-assessment judgements.

4.2.3. Verification sampling

External verification involves regular sampling of centre assessment and IQA decisions and records to check that assessments are being administered in line with our published requirements, and that assessment judgements are valid, consistent and reliable.

Sampling for external verification is representative of all assessment activities, takes account of the qualification risk -level, provides evidence of both interim and summative sampling and is based on the 'CAMERA' rationale.

CAMERA is an acronym for the sampling strategy

Candidates or learners– a selection of candidates across all workplace/assessment locations (new and existing ones) and cohorts. Throughout the assessment process including those candidates certificated, almost complete, mid-way and at the beginning of the assessment, increase in candidate numbers (planned and unplanned).

Assessors – a selection of assessors and internal quality assurers (IQAs) across all workplace/assessment locations over time (3 years). Particular attention is always paid to the decision of unqualified, working towards TAQA, new to centre or inexperienced assessors and internal quality assurers, qualifications, previous action plans, workload, caseload, occupational experience and continuing professional development (CPD). EQAs should always check for any conflict of interest amongst staff in a centre including assessors and IQAs. Where there is a conflict the assessor/IQA must be sampled by the EQA and reported in the CAR3.

Methods of assessment - questioning, observation, witness testimony, professional discussion, recognition of prior learning (RPL), use of simulation, product evidence, assignments, projects, centre devised assessments and tests.

Evidence types- all types of candidate evidence, which must be selected throughout the assessment process and not just end loaded or on completion. Not all units need to be sampled in a single activity, but all units must be sampled over a period of time.

Records – assessor plans and assessment decisions, CPD records, standardisation plans, activities and records. Centres must have a robust IQA strategy, with evidence to support this has been implemented.

Assessment locations- accuracy of centre assessment judgements across all assessors and IQAs (feedback, actions, recommendations, adjustments). Across all grade boundaries including pass/fails/referrals. Marks must be scrutinised alongside the IQA records and assessor feedback reports. A range of units should be sampled in every activity and all units must be sampled over time.

There must be effective measures in place to address any shortfall in assessment.

All assessment decisions must satisfy the 'VACSR' rule – meaning that the supporting evidence is **v**alid, **a**uthentic, **c**urrent, **s**ufficient and **r**eliable.

To aid sampling undertaken at centre visits, centres complete a centre tracker attached to the CA2 form, which includes information of all assessment sites/ locations.

Where centres use their own tracking document, please ensure the following information must be included:

- Learner name
- Learner registration number
- Registration date
- Assessor name(s)
- IQA name(s)
- Last assessment date
- Last IQA date
- Certification date if applicable
- Location/site of assessment
- Qualification and numbers

Centre IQA sampling strategies will inform EQAs which assessment sites have recently been subject to internal sampling. This will help to identify any potential risks, or areas that have not been sampled and will inform subsequent EQA sampling.

IQAs must include in the information provided to the EQA, all assessor, all assessment locations/ site, and learner levels. They must also indicate which learners and what evidence was sampled.

The centre tracker also identifies the registration (and certification, where relevant) dates of learners, which will inform the EQA who to include in the sample.

EQAs sample is therefore dictated by:

- Information about the centre
- Confidence in sources of information
- Emphasis on assessors/IQAs working towards assessor and IQA qualifications or new assessors/IQA's at the centre
- Internal quality assurance sampling plans
- Observation of assessment sites/locations
- Prior knowledge and professional experience
- Whether a qualification is new
- Volumes of learners.

EQAs may also extend the sample of learners on the day of the activity.

EQAs can follow-up information received, during monitoring and sampling activities. If a situation or piece of evidence is unclear, more time can be devoted to it.

An EQA's sampling process is continuous. Over time (how long is dependent on the qualification type), they will ensure that they look at all aspects of the delivery and assessment of a qualification in the centre.

This emphasises the importance of centres operating effective systems and procedures, to give confidence that assessment standards are being closely monitored and upheld internally between visits.

4.2.4. Sanctions and qualification approval risk

Centre assessment subject to external verification, can have sanctions applied to mitigate the risks of learners being certificated incorrectly.

A Qualification Approval Risk (QAR) status is awarded for qualifications with internally assessed, externally verified units/components (and some evolve computer marked tests). This is will impact centres' ability to register and certificate learners for these qualifications.

As such they are used as a sanction with verification to prevent inaccurate or incorrect issue of certificates. They also dictate the actions that centres need to take to improve the accuracy of their assessment judgements. For qualifications with assessments that are moderated, centres cannot claim certification themselves, so QARs do not apply.

The following QAR statuses can be applied (please note that City & Guilds and ILM use different terms for QAR statuses, but the outcomes and reasons are the same):

QAR Status	Outcome	Reasons
City & Guilds - Low **ILM - 00/01**	The centre can register learners and claim for certificates for the qualification.	Quality assurance at the centre is of the appropriate level. Issues identified must be corrected, but do not have an adverse effect on the learner and/ or the validity and reliability of results.
City & Guilds - Medium **ILM - 02**	The centre can register learners for the qualification, but any claims for certification must be agreed by a City & Guilds/ ILM EQA.	Issues identified could potentially damage the integrity, credibility and validity of the qualification and/ or be detrimental to the learner and/ or the validity and reliability of results.
City & Guilds – High **ILM - 03a/b**	The centre is unable to register or certificate learners for the qualification.	Issues identified could have a significant impact on the integrity, credibility and validity of the qualification or the effective operation of a centre, if corrective action is not taken quickly.

QARs are applied at qualification level, so it is possible that centres may offer numerous qualifications, each with different statuses. These collectively will feed into centre-level risk analysis. Improvement actions at qualification-level, therefore, might also contribute to wider-ranging centre-level actions that also need to be addressed.

4.2.5. QAR status criteria

This table details the non-compliance criteria used to measure the validity and reliability of centre assessment. The attendant QAR status reflects the severity of the risk and dictate centre's ability to register and certificate learners. EQAs will recommend an overall QAR status for the qualification, following verification, which will be confirmed and applied by City & Guilds/ ILM.

EQAs will refer to these criteria on the Centre Activity Report (CAR) that they complete for each quality assurance monitoring activity.

Section 1: Management systems

Ref.	Non-compliance issue	QAR status
1.1	Inadequate arrangements in place to ensure learners registered correctly within 12 weeks (unless there is a specified exception to this rule e.g. a short course programme, SVQ)	Low
1.2	Insufficient arrangements in place to obtain ULN/ SCN and learner record if required to do so	Low
1.3	Failure to update changes to the initial centre approval application on management systems	Low
1.4	Incorrect or incomplete information on CA2 form	Low
1.5	Failure to notify/ no documentation of partnerships/ subcontractor relationships	Medium
1.6	No single named centre contact	Medium
1.7	Failure to maintain and keep records of management systems	Medium
1.8	Insufficient or inadequate centre systems to support the assessment of qualifications	High

Section 2: Resources

Ref.	Non-compliance issue	QAR status
2.1	Insufficient arrangements in place for Recognition of Prior Learning (RPL)	Low

| 2.2 | Failure to update changes in resources, from those of initial centre approval | Low |

Section 3: Learner support

Ref.	Non-compliance issue	QAR status
3.1	Insufficient arrangements in place to access the learners' previous achievement with learner consent or for Recognition of Prior Learning (RPL)	Low
3.2	Insufficient staff and/ or resources, to support the assessment of qualifications	High
3.3	No competent Assessors/ IQAs in role, or Assessors/ IQAs do not have the required competency & experience to perform their role	High

Section 4: Assessment

Ref.	Non-compliance issue	QAR status
4.1	Learners are assessed before they are registered with City & Guilds/ ILM (if registration is required for the qualification)	Low
4.2	Centre fails to notify City & Guilds/ ILM that an assessor is taking a qualification in their vocational area, in their own centre	Medium
4.3	Insufficient arrangements in place to hold and transmit securely the details of assessment outcomes	Medium
4.4	Inadequate, administrative system in place to track and record learner progress	Medium
4.5	Centre does not comply with assessment recording requirements	Medium
4.6	Documented evidence of assessment(s) carried out in language other than English, Welsh or Irish (Gaeilge) without prior agreement	Medium

4.7	No countersigning of unqualified Assessor/ IQA work (if this is required by qualification and/ or assessment documentation)	Medium
4.8	Assessment arrangements do not comply with requirements in the qualification and assessment documentation	High
4.9	Centre staff registered on a qualification they are delivering and assessing	High
4.10	Insufficient established and maintained internal quality assurance system	High
4.11	Adequate assessment records not retained	High
4.12	No authentication of certification claims by IQA	High
4.13	Assessor/ IQAs are not performing their role functions accountably or responsibly	High
4.14	Ineffective internal assessment process and practices	High
4.15	Insufficient explicit internal quality assurance procedures	High
4.16	No written declaration of authenticity for learner evidence	High

Section 5: Quality assurance

Ref.	Non-compliance issue	QAR status
5.1	Failure to notify City & Guilds/ ILM of certificates claimed in error/ invalid certificates	Medium
5.2	Insufficient evidence to demonstrate effectiveness of internal quality assurance procedures	Medium
5.3	Insufficient quality monitoring and/or consistency of practice within centre and across sites	Medium
5.4	Centre staff behaving in an unreasonable, hostile or obstructive manner	High

5.5	City & Guilds/ ILM staff or representatives prevented access to premises, people and records	High
5.6	Certificates claimed prior to completion	High
5.7	Providing inaccurate statements in information and submissions	High
5.8	Failure to report malpractice	High
5.9	Failure to cooperate with any malpractice investigation	High
5.10	No declaration of previous withdrawal of centre/ qualification approval	High

Section 6: Records

Ref.	Non-compliance issue	QAR status
6.1	Centre does not comply with requirements regarding recording assessment and/ or IQA decisions	Medium
6.2	Insufficient established and maintained or auditable internal quality assurance system	High
6.3	Adequate learner assessment records (assessor tracking with date of assessment, type of assessment and outcome) and IQA assessment records and/ or reports not kept.	High
6.4	Learner assessment records not retained for three years	High
6.5	Non-compliance with data and legal requirements	High

Section 7: Continuous improvement

Ref.	Non-compliance issue	QAR status
7.1	Insufficient training, support or development opportunities for Assessor/ IQA(s)	Low
7.2	Insufficient evidence of IQA development	Low

4.2.6. Verification feedback and overall QAR status

EQAs complete a Centre Activity Report (CAR) as part of their monitoring activities, which is shared with the centre. Where non-compliance has been identified, this will include an action plan referenced to the QAR criteria along with agreed timescales within which the actions must be completed.

The CAR will also include the overall QAR status for the qualification. EQAs will decide on the overall status based upon the highest identified non-compliance criteria, along with consideration of any other factors (e.g. response to previous improvement actions, malpractice incidents).

The CAR may also include an action plan with improvement points, which is created to support the centre and give best-practice guidance but does not include sanctions.

Centres must meet these actions as agreed. Failure to do so will result in the QAR status increasing to the next level. If a centre is currently on a High QAR status for the qualification this may lead to the withdrawal of qualification and/ or centre approval.

If a centre has previously rectified non-compliance issues in response to action plans but then displays the same non-compliance issues again at a later date, this may factor into be considerations of whether to apply a higher QAR status or withdraw qualification and/ or centre approval.

The QAR status represents a minimum response to identified non-compliances, but there are circumstances in which City & Guilds/ ILM may judge that a higher level of external quality assurance monitoring is justified (e.g. for instances of centre/ staff malpractice). In these instances, additional quality assurance activities may be chargeable.

Conversely, an OQAR risk rating may be recommended for reduction where non-compliance is an isolated instance ad the centre is demonstrating compliance everywhere else.

4.3.   Moderation

Moderation is an external quality assurance method that ensures the validity and reliability of centre assessment judgements through a rigorous scrutiny of standards. It provides a practical, reliable approach for holistic marking and quality assurance that is manageable at scale.

Moderation involves remarking of a representative sample of centre learners by City & Guilds moderators who have been trained and standardised. This remarking will ascertain how accurately a centre is marking against the national standard, and indicate what, if any, adjustments need to be made to bring their cohort's marks in line with this standard. Moderator marks help inform regression analysis which calculates the pattern of adjustments that must be made for all candidates in the cohort.

Centre assessments that are quality assured using the moderation method have the following characteristics:

- Mark-based rather than graded.
- External quality assurance takes place after marking and before certification.
- Each centre cohort taking an assessment will be checked prior to certification.
- Centres are not able to claim certificates themselves.
- Centre marking is adjusted by us where it is found to be inaccurate.
- Representative learner sample is identified from each centre cohort taking a centre assessment.

Where further qualification-specific detail on centre marking and moderation is required it will be produced (e.g., the Technical Qualifications Marking and Moderation Guide).

4.3.1.   Moderators

We use subject-specific Moderators who are trained, standardised and subject to ongoing sampling to establish and maintain consistent, accurate assessment decisions.

- Moderators have the following key responsibilities:
- Moderation of centre assessments
- Checking centre administration
- Providing feedback to centres on the accuracy of their marking
- Undertaking moderation support activities (where they are required).

4.3.2.   Moderation – qualification approval and ongoing monitoring

At the approval stage we require evidence of centre's internal quality assurance strategies, including their internal standardisation plans, assessment administration plans (including the

collection of observation evidence) and internal sampling plans. Where potential issues are identified at this stage, we can build in suggested improvement actions, along with realistic timescales for completion as part of the approval process.

Post-approval monitoring will help support these aims and identify potential issues in assessment delivery prior to the moderation stage itself.

4.3.3. Moderation - internal centre standardisation

Effective internal centre standardisation of centre assessors is a vital part of supporting centre assessment judgements that are subject to external moderation. Where not done correctly, this is the most common cause of issues with consistency and accuracy, and subsequent adjustment of marks at the moderation stage.

Centres are provided with a range of guidance and materials to support the training and standardisation of their markers and their subsequent accurate application of the marking grid. This includes:

- Written guidance
- Exemplar materials
- Familiarisation marking exercises
- Recorded webinars.

Additionally, we use information gleaned at the approval stage to establish whether additional monitoring of centres' internal standardisation process may be required. We may request that centres submit evidence once internal standardisation has taken place for remote review, to ascertain whether centre assessors and IQAs have understood the required marking standard and are marking to it consistently.

This is an opportunity for external moderators to provide feedback to centres and to identify potentially 'high-risk' centres that may require additional sampling.

4.3.4. Moderation support activities

For the practical tasks of some centre assessments, some centres will receive a moderation support activity from the moderator. This is to that ensure evidence gathered by centre markers during the practical tasks is sufficient, valid and reliable enough to support any subsequent marking or moderation of the assessments. This is required in specified qualifications where ephemeral evidence plays a significant part in the assessment and evaluation of learner performance.

Where a practical assessment task generates significant ephemeral evidence, the collection of accurate, authentic centre evidence capturing this is vital to support subsequent marking and moderation.

Moderators will observe a sample of learners completing practical tasks alongside centre markers, whilst making their own observation notes. These will then be compared to the centre markers to ensure that they will provide adequate detail to support later marking and moderation activities. Moderators will also provide written feedback to centres following the visit, confirming the verbal feedback and detailing any recommended follow-up actions.

Not all qualifications with moderated centre-assessments require observation visits; it is dependent on the characteristics of the practical assessment elements and level of the qualification. Where visits are required, this will be indicated in the relevant qualification and/or assessment documentation.

4.3.5.   Moderation sampling

External moderation involves the external re-marking of a representative sample of centre learners, to check their assessment judgements are accurate and within an agreed tolerance to the national standard.

The highest and lowest centre learners are included to set the parameters for the sample, with a random selection of learners from across the cohort to represent the range of performance. The sample will also include (where necessary) learners marked by all centre markers for that assessment.

4.3.6.   Adjustments to centre marks

Where there are issues in the accuracy of centre markers assessment judgements, we will make necessary adjustments to all the centre marks at cohort level to align them with the relevant national standards.

Marking the representative sample allows the moderators to gain a clear picture of the accuracy of centre marking across the cohort, as well as patterns and trends of potential inaccuracy to inform centre feedback.

By comparing the centre marks and moderator marks for the sample, we can determine what, if any adjustments need to be made to the centre marks across the cohort. We use what is termed 'regression analysis' to determine a pattern of overall adjustments that does not advantage or disadvantage learners and aligns centre marking to the national standard.

Where adjustments are made to centre marking, the rationale for doing so is provided in the moderator feedback to centres. Centres also have the right to appeal the final outcomes of moderation, at cohort level.

4.3.7.   Centre observation evidence collection

Centre observation evidence for practical tasks must be of the requisite standard to support subsequent marking and moderation. Centres must focus on how to allow for clear and full observation of tasks being completed, with no advantage or disadvantage to any learner.

The number of learners a tutor will be able to observe at one time will vary depending on:

- the complexity of evidence collection for the task
- local conditions e.g. layout of the assessment environment
- amount of additional support available (e.g. to capture image/ video evidence), staggered starts etc.
- whether there are any peak times where there is a lot of evidence to collect that will need additional support or any that are quieter.

In some instances, the relevant qualification and/ or assessment material will indicate the maximum number of learners that can be observed.

We will also provide detailed guidance on how centres can maximise the potential the use of any supporting evidence (e.g. the required focus and quality of photos, or the appropriate length and use of timecodes for video evidence) where required.

We require that all centre marked learner work be authenticated by both tutors and learners and this will be checked as part of the submission process. Work that is not dually authenticated will not be moderated until this assurance is met.

Our moderators are trained to identify potential malpractice (e.g. plagiarism) and escalate accordingly for further investigation by our Investigation and Compliance team.

4.3.8.   Moderation outcomes

Moderation of centre marking will have one of three outcomes:

- Where centre marking is found to be within an accepted tolerance of moderator marks, centre marks are accepted as being aligned to the agreed standard for the assessment.
- Where centre marking is found to be consistently lenient or harsh, we will make an adjustment to all learner results to align them with the agreed standard for the assessment.
- A full remark will be undertaken where an appropriate adjustment cannot be made to centre marking that is found to be inconsistently lenient/ harsh. This is normally where internal centre standardisation of markers has either not taken place or was not effective.

4.3.9.   Feedback and further quality assurance

All centres receive written feedback reports for each centre assessment, detailing the outcome of the moderation process and providing feedback on the accuracy of their marking and administration. Good, as well as poor practices will be identified along with recommendations for future series.

We may also undertake additional follow-up support activities for impacted centres to address any centre marking issues so the centre can continue meeting qualification approval criteria.

By addressing issues as they arise, we want to help centres to avoid repeating errors and support the continuous improvement of marking.

4.4.   Enhanced external quality assurance activities

Alongside both verification and moderation activities, we undertake additional quality assurance activities to ensure standards are being met. These are bespoke activities responding to identified risks in the delivery of centre assessments. They might involve City & Guilds staff or representatives undertaking remote or face-to-face activities with centres that focus on specific areas of assessment delivery, e.g. internal standardisation or marking.

Any staff/ representatives undertaking these activities will not have knowledge of live assessments relating to the relevant qualification.

These are designed to support centre's assessment delivery and proactively prevent further issues and/ or the implementation of sanctions, where possible.

Reasons for these enhanced external quality assurance activities include, but are not limited to:

- As a result of Maladministration or Malpractice cases relating to centre assessment/
- Where there are recurrent concerns about an element of assessment delivery (e.g. problems with internal standardisation leading to adjustments to marks).
- Where centre administration is causing issues with the quality assurance process (e.g. provision or quality of evidence).
- Changes in a centre's ability to meet the qualification approval criteria.
- Sudden increases in learner volumes.
- Where qualifications or assessment methods are new.

Our Quality Delivery team will work with you to arrange these enhanced external quality assurance activities, where they are required.

4.5. Enquiries and appeals

City & Guilds make every effort to ensure that the outcomes of verification and moderation are fair, consistent and based on valid judgements.

However, where centres are unhappy with the outcome of these quality assurance activities, they can challenge the decision, by requesting an enquiry and/ or appeal.

Detailed guidance on the process is available in the **Enquiries & Appeals** document, available on the website.

APPENDIX 1: Instructions for administering portfolio assessments

This section provides instructions for centres to securely and efficiently administer portfolio-based assessments to support the validity and reliability of assessment decisions and maintain qualification standards.

Definition of a portfolio

Where a qualification requires it, learners will hold the evidence of how they meet assessment requirements in a folder, file or electronic portfolio which is referred to as a 'portfolio of evidence'. For the duration of this document, they will be referred to as 'portfolios'.

Portfolios are internally assessed by the centre and externally quality assured by City & Guilds. They are made up of evidence gathered throughout learners' work on a qualification. A wide range of evidence can be used in portfolios, such as notes from a professional discussion, or tutor/ assessor observations of a practical task/ activity.

The portfolio is supported by an assessment record identifying the learning outcomes and assessment criteria that have been met. This should further include recording of coverage of supporting assessment criteria 'scope' or 'range' where this is specified. This must be cross-referenced to the evidence in the portfolio and the relevant qualification and/ or assessment documentation.

Competence/ work-based qualifications

Portfolios are commonly used to capture evidence in competence/ work-based qualifications which give learners the opportunity to develop and demonstrate their competence, measured against a specific set of standards. Competence/ work-based qualifications allows for flexible delivery, to meet the individual needs of learners and their employers. Learners collect evidence in the workplace or in settings that replicate the working environment (where this is specified in the qualification handbook and/or assessment materials).

Overview of types of evidence

Evidence produced by candidates must be valid, sufficient, reliable, authentic and current and relate directly to specific assessment criteria. Please refer to relevant qualification and/ or assessment documentation for acceptable types of evidence.

These may include, but are not limited to:

- observation notes/ feedback

- witness statements
- reflective accounts
- professional discussion
- learner responses to questions (oral or written)
- audio-visual media
- recognition of prior learning (RPL).

Learners can also use the same evidence to confirm their knowledge, skills and understanding across different assessment criteria and/ or across different units or components, often referred to as 'holistic' assessing. It is not necessary for learners to have each assessment criterion assessed separately. However, the evidence provided for each unit must clearly reference the unit, learning outcome and assessment criteria it demonstrates.

Observation

For competence/ work-based qualifications (e.g. VRQ's), direct observation should be the main source of evidence used in a learner's portfolio.

Learners are expected to demonstrate competence in the required standards over time. Therefore, to ensure validity, the focus of direct observation should be on assessing activities generated in the workplace through naturally occurring evidence, rather than focusing on specific tasks. Taken as a whole, the evidence must show the learner meets all learning outcomes and assessment criteria across the scope/ range consistently, over time. It should be clear where each learning outcome/ assessment criteria has been covered and achieved.

During assessment via direct observation, learners must not be placed under more, or less, pressure than found normally in the workplace. It could be the case that the candidate may feel more pressure simply because they are being assessed and/or observed, so assessors must consider that when undertaking direct
observation.

For some qualifications, a realistic working environment (RWE) or realistic learning environment (RLE) is permitted for assessment. In these instances, the conditions should match those found in the workplace, including:

- facilities
- equipment
- products
- relationships
- constraints
- pressures.

Where a simulation and/ or RWE/ RLE is permitted for the qualification, this will be indicated in the qualification handbook and/ or assessment documentation.

Witness testimonies

It may not always be possible for assessors to be present to observe learners' performance. For example:

- where specialist systems / techniques are being used
- where their presence might be intrusive to the work being assessed
- where an emergency incident occurs outside a planned assessment.

In these instances, a witness testimony may be used as an alternative means of collecting evidence to support the assessment process. These are statements made by someone present while the learner was performing an activity on-the-job. They could be written or recorded; indeed, recorded testimonies may provide richer supporting evidence. Always refer to the qualification handbook and/ or assessment documentation to see if this is an acceptable form of evidence. If it is not stated in these documents, it cannot be used.

Where witness testimonies are used:

- Evidence must be available justifying the suitability of the witness and their expertise.
- The relationship they have with a learner must be declared to the assessor to determine the value of the testimony provided (conflicts of interest should be avoided wherever possible).
- Witnesses must be fully briefed by the assessor and be clear about the purpose of their testimony. It will only be regarded as supporting/ supplementary evidence and the final decision regarding the candidate's ability to meet the evidence requirements is the assessor's responsibility.

The role of the witness is to submit observation evidence to the assessor regarding the competence of the learner in meeting the standards identified in any given unit. This evidence must directly relate to the witness's first-hand observation of the learner's performance in the workplace. It must state what was observed, when it was observed and the criteria that has been met during the observation.

It is not necessary for witnesses to hold an assessor qualification, as it is the responsibility of the assessor to make the final assessment decision(s) about the acceptability of all evidence submitted, regardless of the source.

The status of the witness is important to consider as this determines how much weight their statement has and what other supplementary evidence might be needed to infer competence.

The status of the witnesses can be judged against the following criteria:

- Occupational expert familiar with the required standards
- Occupational expert not fully familiar with the required standards
- Non-expert familiar with the standards
- Non-expert not fully familiar with the standards.

Reflective accounts

Reflective accounts are produced by the learner defining specific work-based tasks and operations that they have completed. They would normally be supported by relevant work documentation and where appropriate photographic evidence. They are a primary form of assessment where 'direct observation' itself cannot be completed.

As with witness testimonies, reflective accounts require validation of authenticity of leaner submission by witness endorsement.

Professional and guided discussions

The purposes of professional and guided discussions are for learners to:

- confirm their understanding of procedures or practice
- evidence how they meet relevant assessment criteria
- provide confirmation of competence
- demonstrate their ability to analyse, think critically and respond to questioning.

Professional and guided discussions take place between learners and an assessor. They are defined as a structured, pre-planned interview exploring key aspects of learner understanding of practice or procedures, allowing the opportunity to gather evidence of competence and knowledge. Professional and guided discussions are a conversation, rather than a question-and-answer session.

Professional and guided discussions are used:

- to confirm the authenticity of witness statements
- to cover unusual or rarely occurring situations or scenarios
- to cover restricted or confidential settings
- to show evidence that assessment criteria have been met, not covered by other assessment methods

- as an alternative assessment method for criteria as appropriate.

The specific areas of activity to be explored must be clearly identified and agreed by the learner and assessor in advance, as must the methods by which the discussion will be conducted. The learner should be encouraged to prepare and make notes that can be added to the portfolio of evidence. This could be via a presentation followed by questioning to cover contingencies, or by using scenarios to explore practice (or other forms of mutually agreed processes). The relevant qualification and/ or assessment documentation will specify the specific structure and conditions for professional discussions.

Questioning will normally focus on the reasons for selecting specific actions, the alternatives considered, as well as any other factors considered.

The evidence requirements for TAQA/ Learning & Development SVQ units clearly state which aspects of competence are to be covered by professional and guided discussions and these must form the basis of the exchange.

Outcomes of professional and guided discussions must be recorded. This could be by audio/ video, written summaries and/or evidence of structured questioning (e.g. a question checklist or structured interview schedule). If audio/ videotape recordings are used, they must be of a good enough quality to support assessment and subsequent review during internal and external quality assurance. Indications of the timings at which relevant assessment criteria/ evidence are discussed in the recordings must be provided. This will aid external quality assurance of learner portfolios.

Questions and responses

Assessors may ask questions of learners to confirm their competence and knowledge for some qualifications. Some assessment strategies, as set out in the relevant qualification and/ or assessment documentation, require assessors to ask learners questions and make a judgement based on their responses. Assessors must generate and record sufficient information to recall and justify their judgement.

This may include:

- Oral questions and learner responses, either transcribed or digitally recorded. Transcriptions must be signed and authenticated by the Assessor and learner and stored in the learner's portfolio. Digital records should also be authenticated by the assessor and learner and stored within the learner's portfolio.
- Written questions. If these questions may be re-used, for example in an externally set test, then the script should be stored securely and referenced in the learner portfolio.

- An Assessor statement saying 'clarified by response to questions' (or similar), where questions were asked orally to confirm competence. This must be signed and authenticated by the Assessor and learner and stored in the learner's portfolio.
- Written and/ or e-volve online tests that ascertain learner knowledge and understanding.

Audio and video evidence

In some circumstances, audio and video evidence may be accepted by City & Guilds as a means of recording learner progression. This will be dependent on the specific requirements of the assessment in question. It can be used to broadcast live learner performance for direct observation by a remote assessor, to record evidence for assessment later, or simply as an assessment record of observed performance.

All instances where audio/ video evidence is used must comply with General Data Protection Regulation (GDPR) and Safeguarding requirements. Centres must ensure, and be able to evidence, that the permission of all participants in the video has been obtained.

Centres must check the relevant qualification and/ or assessment requirements before using video evidence, as this method is not suitable for all units or components within qualifications. Centres must consult their EQA if they are uncertain about the use of audio and/ or video as a method of providing evidence of assessment.

All learners using audio/ video evidence must have access to an assessor who will be able to plan, review and provide feedback on the evidence presented, as well as identify other assessment opportunities that may exist. Where audio/ video evidence is used, the assessor must be able to show that the evidence requirements are met in full for each assessment decision. A copy of the original, unedited recording must be retained for internal and external quality assurance purposes. To ensure ease of access for assessment and quality assurance, the audio/ video files must be indexed, and cross referenced to the appropriate learning outcomes and/ or assessment criteria when the duration of the recording exceeds 10 minutes.

Where video is used for direct observation by a remote assessor, the following minimum requirements must be met:

- The learner identity is authenticated, using photographic ID (e.g. Centre ID, Passport or Driving Licence).
- All safeguarding, health and safety and qualification/assessment requirements are being met.
- The assessor must be able to communicate easily and confidentially with the learner in real time to ensure effective planning, questioning and feedback.

APPENDIX 2: Instructions for administering controlled assessment tasks

This section details the generic assessment conditions under which controlled centre-marked assessments must be administered.

These conditions are the rules that ensure all candidates taking an assessment are treated fairly, equally and in a manner that ensures that result reflects their true ability. Relevant qualification and/ or assessment documentation will provide additional specific guidance on the administration of assessments and the required level of control they must be completed under.

All candidates must be prepared for the conditions they will need to work under prior to the summative assessment taking place.

Definition of controlled assessments

Controlled assessments measure subject-specific skills, knowledge and understanding that cannot be easily or accurately tested by examinations. They are often task-based and may feature a practical element. They are internally marked by centres externally quality assured via moderation, or external verification.

Controlled assessments include:

- internally marked assignments, including synoptic assignments, which may include both practical and written tasks
- internally marked multiple choice or short answer questions
- assessments completed at interim stages of award completion.

Centre controlled assessment and internal appeals policies

As part of effective internal quality assurance, we would expect each centre to have a controlled assessment policy in place, which:

- covers their management and administration of controlled assessments
- define staff roles and responsibilities with respect to the administration of controlled assessments
- manages risks associated with the administration of controlled assessments.

The guidance provided in this document will help centres ensure their policy is fit for purpose. The policy will need to cover all types of controlled assessment the centre is administering and may be reviewed as part of our external quality assurance activities.

Additionally, each centre must have an internal appeals procedure relating to internal assessment decisions. This procedure **must**:

- be communicated to candidates before the assessment takes place
- allow candidates to appeal a provisional result before moderation/ EQA takes place
- be made available to City & Guilds/ ILM, on request as part of external quality assurance monitoring.

Controlled assessment tasks

Qualification-specific controlled assessment tasks, details of the required level of control and any other specific administrative guidance relating to them, will be explained in the relevant qualification and/or assessment documentation.

For a small minority of qualifications, centres can devise controlled assessment tasks. Where this is the case, this will be identified in the relevant qualification and/ or assessment documentation. For more information on centre-devised assessments, please see our Centre Devised Assessments - Developing centre devised assessments document.

Issuing of controlled assessment tasks

Qualification-specific controlled assessment tasks will be made available to centres to administer in line with the guidance in the relevant qualification and/ or assessment guidance. Some controlled assessment tasks will need to be administered within a specific assessment window, whereas others can be administered when candidates are ready to take them.

Where more than one cohort are taking controlled assessment tasks, centres must manage the administration to ensure that cohorts do not mix while the tasks are being completed. Learners who have completed the assessment tasks must be kept away from those yet to complete them. Centres should establish the practicalities of multiple cohorts taking tasks before any assessment begins.

Availability of controlled assessment tasks

For qualifications with controlled assessments subject to annual external moderation, new versions of the assessment tasks/ synoptic assignment will be issued for each academic year. Centres must ensure that candidates undertake the correct version of the tasks. The date the assessment tasks/ synoptic assignments are available will be communicated to all centres delivering the qualifications. This will be communicated in advance to allow time for planning, resourcing and teaching.

Centres must not allow learners access to moderated controlled assessment tasks prior to their agreed assessment window. Doing so could constitute malpractice and may impact the validity and reliability of results.

Where assessments are not issued on an annual basis, assessment can take place at any time once learners are ready to take the assessment.

Incorrect assessment tasks given to candidates

Where incorrect tasks are issued to candidates, centres must contact City & Guilds/ ILM as soon as they become aware of the issue for further advice. Where possible, depending on the assessment requirements for the qualification, it may be possible for candidates to undertake the correct task within the assessment window.

Where this is not possible (e.g. within a limited assessment window) we will aim to support centres to ensure candidates are not disadvantaged. Centres should however make every effort to avoid this situation.

Sharing assessment criteria with candidates

Candidates should be aware of the assessment criteria used to assess their work. This will support their understanding of what they need to do to gain credit. Assessment documentation describes the marking criteria in detail. This can be shared with candidates, unless specified in the qualification and/or assessment documentation.

It is also perfectly acceptable, for example, for tutors to produce a simplified candidate-friendly version, if it is not specific to the work of an individual candidate or group of candidates.

Controlled assessment conditions

This section details the generic assessment conditions that controlled assessment tasks must be completed under.

The relevant qualification and/ or assessment documentation should state the level of supervision required for an assessment. If the level is not specified, supervision is always required, as detailed below.

a. Supervised conditions

   This means all work must be completed at the centre, under direct supervision (by the tutor, assessor or vocational observer). Candidates can only use resources that are listed within the task instructions in the relevant assessment documentation. Centres must ensure that:

- all candidates are within direct sight of the supervisor throughout the duration of the assessment
- display materials which might aid candidates are removed or covered
- candidates have no access to e-mail, internet (unless the instructions for the task clearly state that candidates may have access to internet for research) or mobile phones
- candidates complete their work independently
- candidates complete authenticity forms, where required
- there is no interaction with other candidates, unless the task requires collaboration (as stated in the assessment documentation)
- no assistance of any description is provided by the tutor.

For controlled assessments taken under supervised conditions, invigilators are not required.

b. Unsupervised conditions

Where work for a task can be completed in unsupervised conditions, this will be indicated in the relevant assessment documentation. In these instances, candidates **do not** need to be directly supervised. The use of resources, including the internet, is not tightly prescribed.
The centre **must** however ensure that the work that individual candidates submit is their own and that there is sufficient supervision of every candidate to enable work to be authenticated.
Work for the tasks may be completed outside the centre, without direct supervision, provided that the centre is confident that the work produced is the candidate's own.

Candidates may normally:

- have unlimited access to electronic and printed resources
- use the internet without restriction.

Where candidates work in groups, tutors should keep a record of each candidate's contribution, to support subsequent assessment and quality assurance.

Health and safety

Centres must advise candidates on the following before the controlled assessment begins:

- the importance of health and safety
- safe use of any required or permitted equipment
- any other health and safety considerations relevant to the assessment tasks.

If the candidate is working unsafely during the assessment, the tutor must:

- pause the assessment and inform the candidate of their unsafe practice
- ensure that any risks to health and safety are mitigated before the assessment resumes
- stop the assessment if the candidate continues to work unsafely or if the risks are unable to be mitigated.

If the assessment is stopped, the candidate will need to retake the assessment later. If a qualification has a specific assessment window, the retake must be taken within this assessment window. If this cannot be done, centres must contact City & Guilds/ ILM for further advice.

Advice and feedback

It is important that tutors are aware of what advice and feedback can be provided to candidates before and during controlled assessments, in order to ensure that they do not inadvertently advantage or disadvantage them or compromise the validity and reliability of results.

a. Advice

Centres must advise candidates on the following before the assessment begins:

- sources of information and referencing
- relevance of materials/concepts
- structure of the response (for example, chapter titles and content)
- techniques of data collection
- techniques of data presentation
- skills of analysis and evaluation
- maintaining the security of their work
- allocated time for assessment/s.

Centres may specify a suitable file format and referencing format for evidence (unless otherwise specified, e.g. if there are marks for file naming).

Tutors/ Assessors **should:**

- remind candidates to check their work thoroughly before submitting it, as it may not be worked on further after submission
- check candidates' plans and designs to ensure the time and resources required are appropriate

- ensure that candidates' plans for the tasks distribute the time available appropriately (unless this planning is part of the assessment)
- guide candidates on what stage they should be at with the tasks in a general way.

Centres **must not** provide any of the following, unless instructed to in the assessment documentation:

- model answers
- writing frames specific to the task (such as outlines, paragraph headings or section headings)
- templates
- pro-formas
- work logs etc.

Where assessment documentation instructs the use of any of the above, these materials must be produced as specified and contain no additional guidance. Templates provided as part of the assessment must be used as provided and not adapted.

b. Feedback

Unless specifically prohibited in the assessment documentation, tutors may**:**

- review candidates' work and provide oral and written advice at a general level
- remind candidates how to reference sources of information or structure their response
- allow candidates to revise and re-draft work, having provided advice at a general level (**not** undertaken provisional assessment).

General advice of this nature **does not** need to be recorded or considered when the work is marked.
Please note that this is **not** permitted for the Technical Qualifications synoptic assignments.

c. Prohibited feedback

Where permitted, only the prescribed feedback must be given, since the more tutor guidance provided, the less of the candidate's own performance is being demonstrated. This, in turn may impact the marks available to be awarded.
If tutors give any prohibited feedback, then this **must** be recorded and considered when marking the work. This would include:

- providing detailed specific advice on how to improve drafts to meet the assessment criteria

- giving detailed feedback on errors and omissions which limits candidates' opportunities to show initiative themselves
- intervening personally to improve the presentation or content of work
- giving specific feedback on sources used
- directly providing additional sources to use
- setting a specific action plan for a candidate on how to improve their work
- feedback on the quality of the performance or how the quality of evidence can be improved
- providing guidance where the candidate can correct the issue without it, or a prompt would suffice
- telling the candidate their work is not at the required standard.

Failure to clearly record the provision of prohibited feedback may be considered malpractice and be investigated as such, leading to results being adjusted or invalidated. Centres **must not** provisionally assess work and then allow the candidate to revise it.

d. Advice, feedback and marking

The level and frequency of clarification and advice and feedback provided by tutors must be:

- recorded fully
- considered during centre-marking
- made available for external moderation/ external quality assurance.

Annotation should be used to explain how marks were awarded in the context of the advice and feedback provided. If specific recording forms are required, this will be indicated in the relevant assessment documentation.
Any excessive time taken for any task should be recorded and should be considered during marking if appropriate.
All specific prompts and details on the nature of any further guidance must be recorded on the relevant form(s) and reviewed during marking and subsequent internal and external quality assurance.

Reworking evidence

If tutors are concerned candidates will not be able to submit the full range of evidence for an assessment, they should prompt the candidate to check that they have covered all the task requirements. If a prompt is not sufficient and the tutor has to be explicit as to what the issue is, full details should be recorded for subsequent marking.

Candidates can rework any evidence that has been produced within the relevant assessment window, prior to submission for assessment. This must be because the candidate has identified weaknesses, not because of tutor feedback.

Once learner evidence has been submitted for assessment, no further amendments to evidence can be made.

Referencing sources and preventing plagiarism

Centres **must** ensure that all candidates:

- understand that information from published sources must be referenced
- receive guidance on setting out references
- are aware that they must not plagiarise other material.

All work submitted for assessment **must** include references where appropriate. Each candidate should keep a detailed record of their own research, planning, resources etc. The record should include all the sources used, including books, websites and audio/ visual resources.

Resources

The following section details the generic guidelines on use of resources in controlled assessments.

a. Use of resources in supervised conditions

Where assessments require candidates to produce the work under supervised conditions:

- the use of resources is always tightly prescribed and normally restricted to the candidate's preparatory notes
- access to the internet **is not** permitted
- candidates **are not** allowed to bring their own computers or other electronic devices (e.g., mobile phones, smart watches) into the assessment.

Candidates are not allowed to add to notes and resources between sessions. When work is produced over several sessions, the following material **must** be collected and stored securely at the end of each session (and not made accessible to candidates):

- the work to be assessed
- preparatory work.

Additional precautions need to be taken if the centre permits candidates to use computers to store work. This may involve collecting memory sticks for secure storage between sessions or restricting candidates' access to a specific area of the centre's IT network.

b. Use of resources in unsupervised conditions

Where supervision is not required, candidates can **normally** have unrestricted access to resources to gather information from published sources when researching and planning their tasks. Centres **must,** however, refer to the qualification and/ or assessment documentation to check if this is permitted.

Word and time limits

Word limits given in the instructions for assessments, where indicated, are for guidance only, however centres should discourage candidates from exceeding or falling short of them.

Time limits may be mandatory. Centres should refer to the specific qualification and/ or assessment documentation as to whether minimum and/ or maximum time limits are mandatory. Where limits are for guidance only centres should discourage candidates from exceeding or falling short of
them.

Presentation of written work

For written work, candidates should submit word-processed or handwritten work on A4 paper, unless the task specifically requires them to do otherwise.

All candidates can word process written work, with spell/ grammar check.

Candidates should insert the following details on each page as a header or footer:

- centre number
- candidate enrolment number
- qualification and unit number.

When submitting work for external verification and/ or moderation, centres must:

- Include copies of candidate presentations, charts, artefacts, photographs, letters, videos, audio recordings, transcripts of interviews and witness statements (as specified in the relevant qualification and/or assessment documentation).
- Not include items of real or sentimental value such as photographs or certificates (copies can be used instead).
- Obtain written informed consent from all candidates at the beginning of the course (or as part of centre enrolment process) if videos or photographs/images of candidates will be included as evidence. Centres must be able to evidence this upon request, as part of external quality assurance monitoring.

Group work and collaboration

Group work and collaboration are not permitted for controlled assessments, unless specifically stated in the instructions for the task.

a. Requirements when group work and collaboration is permitted

If the instructions for the assessment documentation specifically state that group work is permitted, the following applies:

– It must be possible to attribute assessable outcomes to individual candidates.
– Members of the group will have made different contributions and the work of each candidate **must** be individually assessed.
– The centre is responsible for monitoring group work and ensuring that each candidate's contribution can be separately assessed.
– The tutor may intervene if any candidate's contribution is unclear or to ensure fair access.
– If one candidate is distracting or preventing others from fully demonstrating their skills or knowledge, the tutor must intervene to ensure no candidate is disadvantaged.
– The contribution of each individual candidate must be clear from both the work itself and, if applicable, the record forms.
– Where an assessment requires written work to be produced, each candidate **must** write up their own work.
– The instructions may place a restriction on the maximum number of candidates within a group.

Collecting evidence for marking controlled assessments

The collection of high-quality candidate and tutor evidence is vital in supporting centre marking and subsequent external moderation and verification.

a. Tutor observation evidence for practical assessments

As far as possible, candidates should not be distracted, or their performance affected by the process of observation and tutor evidence collection.
Assessment documentation will identify the minimum candidate and tutor evidence requirements to support marking, external moderation or external quality assurance via verification, including:

– written observation notes
– photographs
– video evidence.

b. Written observation notes

Where recording forms are provided as part of the assessment documentation centres must use these to capture tutor observation notes. Forms can be adapted to suit local requirements (e.g. for electronic tablet formats, hand-written formats, or to ease local administration) if this does not change or restrict the type of evidence collected.
Where tutors are required to carry out observation of performance, detailed, descriptive notes must be recorded on the form provided for the assessment.
The observation notes must:

– describe **how well** the activity has been carried out, rather than stating the steps/ actions the candidate has taken
– be very descriptive and focus on the **quality** of the performance in such a way that comparisons between performances can be made
– provide sufficient, appropriate evidence that can be used by the marker to mark the performance, and by the Moderator/EQA when reviewing for external quality assurance
– include qualitative comments on **how well** candidates performed tasks
– include any quantitative records of accuracy and tolerances.

Identifying what it is about the performances that is different between candidates can help to clarify the qualities that are important to record for marked assessments. Each candidate is likely to carry out the same steps, so a checklist of this information will not help differentiate between them.
The tutor should refer to the relevant marking criteria to ensure the key information is recorded. These notes will be used for marking and moderation purposes and so must be detailed, accurate and differentiating.

c. Photographic evidence

For some assessments, photographs must be included, to support the written observation notes. Tutors should ensure that any required photographs:

– can be easily matched to the correct candidate (good practice would be to display a print-out with the candidate name and ENR in each photograph)
– are clear and well-lit, to demonstrate the quality of evidence being displayed
– show the **areas of particular interest** in **sufficient detail** and **clarity** for assessment (i.e., taken at appropriate points in production, showing accuracy of measurements where appropriate)
– have been authenticated by the tutor, or as part of IQA.

d. Video evidence

Where evidence is ephemeral and areas of candidate performance are hard to capture with photographs and tutor notes alone, centres may want to use video evidence as supporting evidence.

If video evidence is a requirement of the assessment, this will be indicated in the relevant assessment documentation.

Video evidence must meet these minimum requirements. It must be:

– easily matched to the correct candidate and task
– no more than 5 minutes long
– clearly shot and well-lit
– show the areas of particular interest in sufficient detail and clarity for assessment, (i.e., filmed at appropriate points in production, showing accuracy of measurements where appropriate).

The supporting written evidence provided must:

– clearly identify the relevant parts of the video (e.g., by using a timecode)
– include the tutor's judgement on the performance being demonstrated.

Please note that where video evidence is unclear, or does not meet these minimum requirements, it will be disregarded at the external quality assurance stage.

Number of candidates per tutor

The number of candidates a tutor will be able to observe at one time during assessments will vary depending on:

- the complexity of evidence collection for the task
- local conditions (e.g., layout of the room)
- amount of additional support available (e.g., to capture image/ video evidence)
- whether there are any peak times where there is a lot of evidence to collect that will need additional support.

We recommend that, in general, **no more than** eight candidates are observed by a single tutor at one time.

Centres may want to trial the planned arrangements before the assessment, then review the quality of evidence produced and manageability.

Authentication procedures

All controlled assessment evidence must be authenticated by candidates and tutors. Where it is not, it will not be externally verified, or moderated and results will not be processed.

a. Authenticating candidate work

Tutors **must** be sufficiently familiar with the candidate's general standard to judge whether the piece of work submitted is within their capabilities.
All candidates **must** sign a declaration to confirm that the work they submit is their own unaided work. Tutors **must** sign a declaration of authenticity / learner statement of authenticity (ILM) after the work has been completed confirming that:

– the work is solely that of the candidate concerned
– the work was completed under the required controlled conditions
– any additional support has been documented
– signed candidate declarations are kept on file.

Signed candidate declarations must be kept on file until the deadline for requesting a review of results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. They must be available upon request.
For Technical Qualifications, declarations of authenticity (signed by candidate, assessor and IQA) are uploaded along with learner evidence and marks for moderation by City & Guilds/ ILM.

b. Authenticity queries

If the centre is unable to confirm that the work presented by a candidate is their own and has been completed under the required conditions, they must not accept the candidate's work for marking.
If, during the external quality assurance process, it is found that the work has not been properly authenticated, City & Guilds will not verify or moderate the candidates work and results will not be processed. Where certificates have already been issued, they will need to be recalled.
This could also count as malpractice and be subject to further investigation by City & Guilds/ ILM.

Secure Storage

Where candidates produce controlled assessment work over a period of time and under supervision, their work must be stored securely between sessions. Once work is submitted by the candidate for centre marking/ assessment, it must be stored securely for the duration of the assessment and external quality assurance period.

It is the centres' responsibility to securely store any work that candidates have submitted as part of the assessment and failure to do so could compromise the validity and reliability of results.

Format of work

Secure storage requirements will depend on the format of candidate work produced during the controlled assessment.

a. Hard copy formats

Where work is stored in hard copy format, secure storage is defined as a securely locked cabinet or cupboard.
Where candidates produce material objects other than written evidence as part of the controlled assessment, secure storage may be defined as a classroom, workshop or any other room which is locked or supervised from the end of one session to the start of the next.

b. Electronic formats

Where work is produced electronically, centres are required to restrict access to this material and to utilise appropriate security safeguards such as firewall protection and virus scanning software. An effective back-up strategy must be employed so that an up-to-date archive of candidates' evidence is maintained.
Centres should consider encrypting any sensitive digital media to ensure the security of the data stored within it.

Storage of marked work

Internally marked work **must** be stored securely until all possible results enquiries have been exhausted. If no enquires or appeals have been requested, internally assessed work may be returned to candidates after the deadline for requesting a review of results. If enquiries or appeals have been requested, internally assessed work may be returned once the respective enquiries and appeals processes have been completed.

Candidates must be reminded to keep their work secure throughout the assessment window. Candidates must not share completed or partially completed work online or through any other means.

Submission of work that will be moderated

For some assessments, centres must submit centre marks (rather than grades) for all candidates. These will be reviewed, along with a sample of candidate evidence, for external moderation by City & Guilds/ ILM. Where this is the case, work must be held by the centre after marks have been submitted, as described below.

Moderation sample

Where assessments are subject to external moderation, a representative sample of candidate work is remarked by a moderator to ascertain the accuracy of centre marking in line with national standards.

Centres must keep a record of candidate names and numbers for those whose work was included in the sample. This information may be needed if a review of moderation is requested.

Candidate evidence for moderation is normally submitted electronically. In the instances that hard copies are sent to moderators, work will be returned directly to centres.

City & Guilds retain some candidate work for archive and standardisation purposes. Where this is the case with hard copies, centres will be informed.

Exceptions

The following section details examples of exceptions to the administration guidance for controlled assessments and their related mitigations.

Extensions to the deadline for submission of marks

For some controlled assessments, centres award marks rather than grades. These must be submitted by a common fixed deadline within the academic year. In exceptional circumstances where a candidate has been affected by circumstances beyond their control, it may be possible to grant a short extension of up to two weeks. This is at the discretion of City & Guilds/ ILM.

Centres must contact City & Guilds as soon as possible to request an extension. Where candidate marks and evidence are submitted after the deadline without an agreed extension, we reserve the right not to process final marks for the candidates in question.

Candidates who have not completed all required work

If candidates have completed most, but not all the required work for an assessment, due to absence, injury or circumstances beyond their control, they may still be able to achieve the component/ unit. However, **all** the following conditions must be met:

- the assessment requires completion of more than one piece of work
- all pieces of work are assessed against the same criteria
- the candidate has completed at least one piece of work and each required assessment objective has been covered at least once.

In these instances, centres must contact City & Guilds to discuss the candidate's situation and get the appropriate guidance regarding next steps.

Loss of work

Where controlled assessment work is lost, candidates may be eligible for special consideration. The conditions for this eligibility are shown below:

Type of loss	Circumstances	Possible actions
Candidate responsible for loss	The loss is a consequence of negligence on the part of the candidate.	Not eligible for any special consideration.
Centre responsible for loss	- The loss is not a consequence of negligence on the part of the candidate. - The centre can verify that the work was completed or partially completed and had been monitored whilst it was in progress.	May be eligible for special consideration

In these instances, centres must contact City & Guilds to apply for special consideration in the usual way, as per the guidance in our Access Arrangements and Special Consideration document.

Malpractice

For controlled assessments, the following may constitute malpractice and be subject to further investigation by City & Guilds/ ILM:

- submitting work which is not their own
- sending or lending their work to other candidates (through any medium)
- allowing other candidates to have access to their own independently sourced material
- assisting other candidates to produce work
- using books, the internet or other sources without acknowledgement or attribution
- submitting work that has been word processed by a third party without acknowledgement
- including inappropriate, offensive or obscene material.

For more detailed information on managing suspected malpractice, please refer to the **City & Guilds/ ILM Managing cases of suspected malpractice in examinations and assessments** document, available on the City & Guilds website.

Discussing and divulging content of the assessment

At the point of issuing assignment briefs, tutors must inform candidates that they must not at any point discuss or divulge the content of the assessment to any other candidates during the controlled assessment window. They must be made aware that such actions may constitute malpractice and could result in a:

- written warning
- loss of marks for a task or the entire assignment
- ban from taking assessments for a set time
- disqualification from the qualification.

Candidates **must not** discuss the content of controlled assessments or post their work online (e.g., on social media).

Centre Document Library

The City & Guilds / ILM Centre document library can be found at

www.cityandguilds.com/delivering-our-qualifications/centre-development/centre-document-library

This is a resource area designed for our centres and has practical guidance information to help you with every aspect of running our qualifications.

The guidance covers everything from initial approval and centre charges, malpractice, to learner exam administration, policies and procedures.

Contact us

T: 01924 930800

E: centresupport@cityandguilds.com

Lines open: Monday to Friday 08.00 to 18.00 GMT

About City & Guilds

Founded in 1878 to develop the knowledge, skills, and behaviours needed to help businesses thrive, we offer a broad and imaginative range of products and services that help people achieve their potential through workbased learning.
We believe in a world where people and organisations have the confidence and capabilities to prosper, today and in the future. So we work with like-minded partners to develop the skills that industries demand across the world.

City and Guilds Group

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