

NOCN Requirements for Approved Centres (Generic) - Checklist

All Centres are required to go through a Centre recognition process. Centres must confirm that the Centre has policies and procedures in place which define the quality assurance at the Centre and which support NOCN's regulatory requirements. Centres must be able to evidence this during the application and/or during an approval visit. Once approved, Centres will be monitored for continuous compliance.

NOCN have produced this checklist for Centres – it can be used as a self-assessment readiness tool when considering submitting an application to become an NOCN approved Centre. It will also support a Centre in the preparation for a centre recognition approval visit. It may also be used when preparing for the on-going monitoring by the Assurance Team, once approved status has been granted.

This checklist is a **generic checklist** which outlines minimum approval criteria for **all** centres. Examples of evidence are given in the amplification column. Centres must also refer to guidance provided in the qualification specification documents and any associated assessment strategies for the sectors in which qualification approval is being sought/offered.

Please note: there are additional requirements for Centres who wish to offer Construction qualifications and Security Industry qualifications. Please refer to the specific guidance for those sectors.

Section A – Internal Management and Systems

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
1.1	The management understands and communicates policies to the assessment, quality assurance and training teams and reviews all policies appropriately.	Up to date policies in place Fair access to assessment meeting minutes		L1
1.2	Manage and retain a suitably qualified workforce for the management, assessment, training and quality assurance of the centre	Evidence of the staff resource being available Records of staff availability		L1/2
1.3	Administration processes are clear and aligned to NOCN requirements. There are safe and secure arrangements and processes for the following: learner enrolment, registration, progression and achievement, issuing of certificates.	Processes and procedures Centre Records Secure storage facilities		L2

Section A – Internal Management and Systems (continued)

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
1.4	Technical and general queries from assessment/training/quality assurance teams and learners to the centre quality assurance team are resolved, recorded or reported to NOCN.	Question and resolution process Records of questions and resolutions Communication evidence to NOCN		L1
1.5	Changes to personnel involved in assessment, training and internal quality assurance are notified to NOCN	Records of updates to NOCN Assessment and training staff registration applications		L1/2
1.6	The centre complies with requests for access to records, information, staff and premises for the purpose of external quality assurance and quality assurance			L1/2/3
1.7	Centres have the facility to pass information on credit accumulation and credit transfers to LRS	UKPRN LRS contract 3 rd party agreement		L1
1.8	NOCN External Quality Assurance reports are disseminated to all the assessment and training teams and corrective actions completed	Meeting minutes		L1
1.9	Evaluation of the equality and opportunity data gathered by the centre takes place periodically and changes are made based on the findings	Evaluation of equal opportunities data Changes made		L1
1.10	Unit certification is made available to learners	Policy for early leavers Evidence of communication for unit certification		L1
1.11	Service level agreements are adequate to demonstrate partner organisation responsibilities	Copies of agreements		L1
1.12	Conflicts of interest within a centre are dealt with appropriately	Conflict report		L1/2
1.13	A ULN is obtained for each learner unless the learner opts out	Each learner has a ULN evidence of opt out		L1

Section B – Resources, Equipment and Staff

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
2.1	<p>Staff are appropriately qualified and experienced to deliver and Quality Assure the NOCN provision they are approved for. CVs and certificates for staff are available.</p> <p>For qualifications with NVQ in the title – there are sufficient assessors and internal quality assurers to ensure the assessment process is supported and the qualification delivery is robust</p> <p>For other qualifications there are sufficient qualified training and internal quality assurance staff (at least one per occupation) registered with NOCN</p>	<p>Job descriptions CVS Certificates CPD Records Quality assurance strategy</p>		L3
2.2	Roles and responsibilities are understood by all staff involved in assessment and training of NOCN qualifications	<p>Organisational chart CV's Job descriptions</p>		L1
2.3	Staff training and development needs are identified and recorded, to meet the requirements of assessment quality assurance and training	<p>Staff induction Minutes of meetings and briefings or training courses CPD records Action plans for development</p>		L1
2.4	The resource available for assessment and training meet the requirements as set out in the relevant health and safety acts	<p>Public liability insurance Maintenance schedules and records Risk assessment records Health and safety policy</p>		L1/2/3
2.5	Centre resources i.e. schemes of work, lesson plans and handouts are in place and produced to acceptable quality standards	<p>Lesson plans Handouts</p>		L2/3
2.9	There is adequate provision of physical resources to support the learning and meet the requirements of the qualification/training.	<p>Learning materials Facilities</p>		L3
2.7	There are the appropriate insurances to protect learners, staff and visitors as deemed by law	<p>Insurance certificates Employers' liability insurance Public liability insurance Indemnity insurance</p>		L3
2.8	Assessors/trainers/IQAs have sufficient time, resources and authority to perform their roles	<p>Job descriptions Case loads</p>		L2

Section B – Resources, Equipment and Staff (continued)

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
2.9	All delivery sites have been identified	Risk assessment for all sites		L2

Section C – Learners

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
3.1	Learners are fully inducted on to the qualification prior to any assessment or training. Learners and potential learners are given appropriate guidance and advice to support the qualification	Induction materials Confirmation verbally by learner Appeals procedure		L1
3.2	Initial assessment must confirm the correct qualification level/mode and support requirements, to enable successful completion	Initial assessment document (profiling) Assessment plans		L1/2/3
3.3	Learners are supported, monitored and progression is reviewed	Assessment plans Individual learner plans Learner tracking records		L2
3.4	For qualification with NVQ in the title the assessment process must involve the learner and allow two-way written feedback on progress between the assessor and learner	Review documentation Updated assessment plans		L1
3.5	Assessment and training is managed and the most appropriate method of assessment or training is used to prevent any barriers to entry	Assessment and training plans. Policy for learners with particular assessment requirements		L1/2
3.6	The qualification requirements are used to ensure valid assessment and training methods are used	Meeting minutes Communication evidence with NOCN		L1/2
3.7	Learners are aware of their rights, e.g. appeals, equal opportunities policies, registration, induction and health and safety	Induction paperwork Registration number Appeals procedure Equal opportunities policy Health and Safety policy		L1/2
3.8	Centre informs learners how their data will be used (e.g. Personal Learning Record)	Data Protection Policy Registration/Enrolment forms Learner Handbook		L2

Section D – Assessment, Training and Quality Assurance

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
4.1	Internal quality assurance procedures and activities are clearly documented and assessment decisions are sampled to ensure consistency and compliance. This should take into account risk.	Internal Quality Assurance strategies Written sample plan Quality assurance risk assessment Minutes of quality assurance team meetings		L2
4.2	Assessment/testing decisions are consistent and sampled for all assessors and trainers working and registered at the centre. Records of standardisation activity are identified and acted upon appropriately.	Evidence from portfolios Records of standardisation activity Minutes of assessor team meetings Internal quality assurance plans and records of all internal quality assurance activity Records of assessment sampling strategies		L1/2/3
4.3	Internal quality assurance processes ensure assessments/training cover all learning outcomes and assessment criteria prior to any claims for certification.	Learners' assessment documents portfolio/data requirements (paragraphs 23 and 26)		L1/2/3
4.4	There is sufficient assessment/training planning with learners.	Centre assessment strategy Internal quality assurance reports Assessment plans and reviews Learner tracking		L1
4.5	Assessors for qualifications with NVQ in the title are occupationally competent and meet the SSC strategy for conducting assessment activity.			L3 Assessor Removal
4.6	Trainers are occupationally competent and hold the appropriate qualifications.			L3 Assessor Removal
4.7	Internal quality assurers for qualifications with NVQ in the title meet the SSC strategy for conducting internal verification.			L3 IQA Removal

Section D – Assessment, Training and Quality Assurance (continued)

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
4.8	Qualified assessors/internal quality assurers as appropriate, countersign decisions of unqualified assessors/ internal quality assurers.	Evidence from assessment records		L1/2/3
4.9	The range of assessment/training methods is sufficient to progress learner including RPL.	Centre assessment strategy Achievement rates RPL process used		L1/2
4.10	A review of the internal quality assurance process to ensure it is appropriate must be carried out and reviewed against the External Quality Assurer reports.			L1/2
4.11	The Centre are aware of valid, reliable and appropriate assessment methods.	Meeting minutes Assessment/IQA plans		L1/2
4.12	The Centre are aware of Reasonable Adjustments which may be applied.	Reasonable Adjustments policy		L2
4.13	There is regular standardisation of assessment and training between centre staff	Minutes of standardisation meetings		L1
4.14	Claims for exemption identified by learners are considered and recorded by the centre	Evidence of exemptions made Evidence of communication with NOCN for exemptions		L1 to L2

Section E – Records

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
5.1	Formal feedback is sought from learners and employers to evaluate the delivery of the assessment or training.	Feedback documentation Evaluation of feedback Reports Actions taken from feedback		L1
5.2	Records are sufficient to allow audit of assessment/training.	Learners' assessment documents portfolio/data requirements		L2

Section E – Records

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
5.3	For qualifications with NVQ in the title the records of assessment meet the requirements listed in the NOCN qualification specification and the SSC assessment strategy.	Evidence of the assessment process Planning, assessment, review and feedback		L2/3
5.4	Records of training and testing meet the requirements set out by NOCN	Lesson plans Invigilation policy		L2/3

Section F – External Assessment Arrangements

Approval Criteria		Amplification	Centre Evidence For centre use	Action Level
6.1	The Centre have a process in place for checking learner ID prior to being allowed to take an assessment	ID Policy Invigilation Policy		L2/3
6.2	The Centre have named invigilators who are appropriately trained in their role	Staff CVs and Job descriptions Training for staff		L2/3
6.3	The Centre have an appropriate examination venue and facilities	Risk assessments Physical resources Seating plans		L2/3
6.4	Security arrangements for externally set, internally marked assessments are appropriate as well as those marked by NOCN	Safe and secure storage Lost portfolio policy		L2/3

3. Version Control

This is version 2.0 of NOCN's Requirements for Approved Centres (Generic) – Checklist and was issued January 2019.

This document will be reviewed on an annual basis. Next Review Date: January 2020.