

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 1a: Assurance – Internal Management, administration and staffing

Approval Criteria	Amplification	Yes/No	Evidence
1.1 The Centre has a staffing/organisational structure which is appropriate to underpin NOCN provision. <ul style="list-style-type: none"> • Retain a workforce of appropriate size • Sufficient managerial; resources • Named centre contact • Named person for key roles 	Organisational chart CVs Job descriptions		
1.2 Clearly defined roles and responsibilities for all staff involved in the	Organisational chart CVs Job descriptions		

administration and delivery of NOCN provision.			
1.3 Conflicts of interest within the Centre are identified and appropriately managed.	Conflicts of Interest Policy		
1.4 Staff are appropriately qualified and experienced to deliver and quality assure the NOCN provision requested. CVs and relevant certificates for staff are available. Original certificates must be made available for inspection/audit. <i>(Evidence must be available to meet the assessment strategy requirements)</i>	CVs Certificates CPD Records		
1.5 Staff are provided with appropriate induction and professional development opportunities so that they can maintain relevant expertise and competence required by NOCN and for the provision requested.	Staff induction CPD records Personal Development Plans		
1.6 Assessors/trainers/quality assurers have sufficient time, resources and authority to perform their roles	Job descriptions Case loads		
1.7 An effective communications system is in place to keep all relevant staff informed of current NOCN policies, procedures and qualification requirements.	Meeting minutes Communication evidence Standardisation evidence and minutes		
1.8 Technical and general queries from	Question and resolution process		

assessment/training/quality assurance teams and learners to the centre quality assurance team, are resolved, recorded or updated to NOCN	Records of questions and resolutions IQA processes and documentation		
1.9 All delivery sites have been identified.	Risk assessments for all sites.		
1.10 Partnership arrangements are clearly and sufficiently documented.	Contracts		
1.11 Administration processes are clear and aligned to NOCN requirements. There are safe and secure arrangements and processes for the following: <ul style="list-style-type: none"> • Learner enrolment • Learner registration • Recording of Learner progression and achievement • Retention of records • Issuing of certificates to Learners • Safe and secure storage of records and data 	Processes and procedures Centre records Secure storage facilities		
1.12 Centre informs Learners how their data will be used (e.g. Personal Learning Record (PLR))	Data Protection Policy Registration or Enrolment Forms Learner handbook		
1.13 Unit certification is made available to learners	Policy for early leavers		
1.14 The centre has appropriate insurances to protect Learners, staff and visitors.	Insurance certificates Employers' liability, Public liability, Indemnity insurance and any other		

	sector specific relevant insurances.		
1.15 All equipment and accommodation used for the purpose of programme delivery and assessment complies with the requirements of Health and Safety legislation and regulations.	Risk assessment records		
1.16 Management and quality assurance arrangements and processes are in place and are applied across all delivery sites/satellite locations, sub-contractors and third parties.	Standardisation meeting minutes Quality Improvement Plans		

Section 1b: Assurance – Policies

Approval Criteria	Amplification	Yes/No	Evidence
<p>1.17 The Centre has the following policies in place. They are appropriate, up to date regularly reviewed and communicated appropriately across the Centre and any partner sites:</p> <ul style="list-style-type: none"> • Access to Fair Assessment • Appeals Policy for Learners • Complaints Policy for Learners • Conflict of Interest Policy • Contingency Plan • Data Protection Policy • Disability Discrimination Policy • Equality, Diversity and Inclusion Policy 	Policies		

<ul style="list-style-type: none"> • Examination and Invigilation Policy • Health and Safety Policy (relevant to Learners) • Internal Quality Assurance Policy • Malpractice, Maladministration and Plagiarism Policy • Learner Identification Policy • Reasonable Adjustments Policy • Documentation Retention and Secure Storage Policy 			
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Section 2 - Internal Assessment Arrangements - Teaching, support and learning resources, assessment arrangements

Approval Criteria	Amplification	Yes/No	Evidence
2.1 The Centre have appropriate teaching, support and learning materials.	Lesson plans Handouts Teaching resources and facilities		
2.2 Centre have schemes of work and lesson plans in place <i>(Or are able to provide examples of how these will be completed following approval)</i>	Scheme of Work Lesson plans		
2.3 Initial assessment is carried out and support arrangements /individual plans are developed	Centre assessment strategy Initial assessment resources Individual Learning Plans Signposting for additional support/guidance		
2.4 A comprehensive Learner induction is carried out.	Induction materials Initial assessment document		

2.5 Learners are supported, monitored and progression is reviewed.	Assessment plans Individual learner plans Review documentation Learner tracking records		
2.6 For qualifications 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		
2.7 There is adequate provision of physical resources to support the learning and meet the requirements of the qualification/training.	Learning materials Facilities		
2.8 Learners are provided with information, advice and guidance and are made aware of their rights.	Induction paperwork Registration details Appeals procedure Complaints procedure Health and Safety policy Reasonable adjustment information		
2.9 Assessment recording documentation is available and appropriate. This allows for feedback to the Learner.	Assessment plans Assessment records Portfolio feedback forms		
2.10 The Centre are aware of valid, reliable and appropriate assessment methods.	Meeting minutes Assessment/IQA plans		
2.11 The Centre are aware of Reasonable Adjustments which may be applied.	Reasonable adjustments policy		
2.12 Security arrangements for externally set, internally marked assessments are appropriate.	Safe and secure storage Lost portfolio policy		

Section 3 - Internal Quality Assurance Arrangements – Sampling strategy and rationale, recording documentation and processes

Approval Criteria	Amplification	Yes/No	Evidence
3.1 The Centre have an appropriate internal quality assurance strategy that is risk based.	Internal Quality Assurance strategy Written sample plan Quality assurance risk assessment		
3.2 The Centre have documentation in place to support Internal Quality Assurance.	Internal Quality Assurance strategy Written sample plan Quality assurance risk assessment IQA recording forms		
3.3 The Centre have arrangements in place for observation of teaching, learning and assessment.	Observation of teaching and assessment plans and records		
3.4 The Centre have standardisation arrangements in place.	Meeting minutes		
3.5 Support arrangements are in place for delivery and quality assurance staff.	Contingency plan/policy CPD opportunities Staff development Countersigning for unqualified assessors/IQAs		
3.6 A system is in place to ensure safe claims.	Internal Quality Assurance strategy Learner tracking and progression Responsibility within job roles		
3.7 Internal Quality Assurance Staff hold recognised quality assurance qualifications.	Staff CVs Certificates		

Section 4: External Assessment Arrangements – Invigilation arrangements, security measures

Approval Criteria	Amplification	Yes/No	Evidence
4.1 The Centre have a process in place for checking Learner ID prior to being allowed to take an assessment.	ID policy		
4.2 The Centre have named invigilators who are appropriately trained in their role.	Staff CVs and Job descriptions Training for staff		
4.3 The Centre have an appropriate examination venue and facilities.	Risk assessments Physical resources		
4.4 Security measures are appropriate.	Safe Secure storage		

Version	Approved by	Date	Next Review Date
1.0	NR	March 2018	April 2019