

CENTRE MANUAL INFORMATION AND GUIDANCE FOR ILM CENTRES

ISSUED OCTOBER 2010



Welcome to the ILM Centre manual

This manual tells you everything you need to know about ILM, your role as an approved centre or recognised provider, and the way we work together.

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1 *Introducing ILM*

1.1 **Our mission**

The Institute of Leadership & Management (ILM) believes that good leadership and management hold the key to organisational effectiveness and social and economic prosperity.

We work with individuals and organisations globally, helping them to reach their full potential and achieve success by:

- providing recognised qualifications and endorsing bespoke programmes
- developing innovative learning services and products
- designing tailored management development solutions
- supporting a leadership and management community
- facilitating knowledge and debate on leadership and management
- influencing employers, policy makers and opinion formers.

1.2 **About us**

We are the UK's largest awarding organisation for qualifications in leadership, management, coaching and enterprise. We work with over 2,500 ILM-approved centres, including private training providers, further and higher education colleges, and employers delivering in-house management training.

Around 92,000 learners register for ILM qualifications every year, well over half of all UK qualification-based management training, at all levels. We are also a professional body with over 30,000 practising managers as members.

ILM was formed in 2001 with the merger of NEBS Management and the Institute of Supervisory Management. We are part of the City & Guilds group, the UK's largest vocational qualifications awarding organisation.

1.3 Our products and services

1.3.1 Qualifications

Our wide range of qualifications meets the needs of managers and leaders at all levels – from aspiring team leaders through to first line and middle managers, right up to senior managers and business leaders.

We offer qualifications in:

- management (including a suite of qualifications specially developed for the international market)
- leadership
- coaching and mentoring
- business enterprise
- social enterprise
- environmental management
- management of volunteers
- facilities management
- site waste management
- quality improvement
- managing equality and diversity
- project management
- managing innovation and change in the workplace
- action learning facilitation
- management consultancy

You can browse the full range of ILM qualifications at www.i-l-m.com/browse

1.3.2 Endorsed programmes and development programmes

Many training providers run bespoke management training programmes for their clients, but never receive wider recognition for this specialist work.

ILM's endorsed and development programmes add real value for training providers, giving independent professional recognition to their existing training – without the need to alter the programme content.

For more information about endorsed and development programmes visit

www.i-l-m.com/endorsedanddevelopment

1.3.3 Formal recognition on credit frameworks

All our Vocationally Related Qualifications are on the Qualifications and Credit Framework (QCF) for England, Wales and Northern Ireland. We also have four National Vocational Qualifications (NVQs) on the QCF.

In addition, most of our Vocationally Related Qualifications in management are also recognised on the Scottish Credit and Qualification Framework (SCQF) and some ILM qualifications are accredited by the Irish equivalent, the National Framework of Qualifications in Ireland (NQIA).

Credit Frameworks award nationally-recognised credit for qualifications and units. Crediting these small steps of learning encourages people to add them together and gain qualifications at their own pace, along flexible routes.

For more on credit frameworks see Section 5.2.3 and Section 6.9, and visit www.i-l-m.com/qualificationframeworks

1.3.4 Membership

Studying membership is free to anyone registered for any ILM qualification or endorsed or development programmes (except the Professional Recognition Award). Learners who activate their studying membership on or before 31 December 2010 will get one year's free studying membership; from January 2011 onwards the period of free studying membership will be for six months.

It is also available to ILM tutors, free of charge.

Learners and tutors go to www.i-l-m.com/activate to join ILM as a studying member, or get more information at www.i-l-m.com/studying-members.aspx

There is an online support package at www.i-l-m.com/getaboost and printed material is available to help you promote the benefits of studying membership to learners. This package includes an introductory powerpoint presentation, DVD, posters and credit card size fold-out leaflets outlining how learners can sign up to the FREE studying member support package.

Available free from the Customer Service team on 01543 266867 or by emailing customer@i-l-m.com

1.3.5 Resource materials for learning and assessment

We offer a comprehensive range of resources for trainers, team leaders and managers at all levels.

<http://www.i-l-m.com/7806.aspx>

To see everything that's available, go to: www.i-l-m.com/resourcesdownload

1.3.6 Key information on the ILM website for centres

We make sure our website contains helpful and essential information for centres and providers. So at <http://www.i-l-m.com/centres.aspx> you can find everything you need, including:

- *Centre manual* – available to download chapter by chapter in PDF format. The full document includes an index which is hyperlinked to take you to the section you need
- *Qualification specifications* – these documents set out the aims and objectives, entry requirements, structure, programme delivery and assessment for each qualification
- *Guide to Fees*, these are published annually for UK, International and Republic of Ireland centres
- *Funding* – a dedicated area bringing you the latest funding information in your area or nation

- *Centre resources* – a wide range of information to help your staff prepare for, deliver and assess ILM programmes
- *Centre support toolkit* – a one-stop-shop of marketing tools including posters, Powerpoint, DVD and marketing materials to help you promote your business
- *Guidelines for Endorsed and Development Programmes*
- *Centre News*, a monthly electronic newsletter for all centre staff
- *Study Guides* – information for learners about their qualification and its assessment
- *Centre Events* – details of our expert events programme to support centres and tutors.
- *Hall of Fame* – success stories from ILM centres and providers

Some parts of the Centres Area are password protected so you'll need your centre number to log in.

- Click on the 'log in' button
- If you're a new centre or provider, click on 'register for online access', select the option 'working for an ILM centre' and click 'go'
- Enter your centre/provider number and you'll see a list of registered contacts. If your details don't appear, fill in your contact information

If you need any help, call the Customer Service team on 01543 266867 or email them at customer@i-l-m.com

1.3.7 Expert learning resources in the ILM shop

We offer Centres a selection of specialist learning resources to support tutors and learners on ILM programmes. Ranging from course readers to support our core qualifications, to multimedia presentations and tutor packs to enhance delivery of popular units, all resources are available via the ILM shop at www.i-l-m.com/shop

2 *Our customer support*

2.1 Our Customer Service Charter

Our customer promise

ILM is committed to delivering the best customer service. This charter lays out the level of service you can expect from us and the targets we've set to ensure that we meet your customer service needs. If we don't get something right first time we'd like to hear from you, so we can keep improving the service we provide.

We put customers first. So we always listen carefully and respond positively.

- We answer your telephone calls courteously, promptly and professionally
- We aim to completely resolve your enquiry for you, the first time you call. If we don't have an immediate answer we find out, and let you know when you'll hear back from us
- We respond to your emails within two working days, and reply to letters within five working days
- If you have a complaint, we aim to resolve it for you within 10 working days. If it will take longer than that we keep you fully informed.

We understand the importance of your orders and requests.

So we make sure we deliver the right solutions at the right time.

- We provide a decision on centre or qualification approval within 20 working days of receiving the application
- We process and confirm all learner registrations within 10 working days of receiving them
- We send you your external assessment results within 25 working days of the ILM External Assessor receiving the scripts – as long as you sent them by the date you put on your registration form
- We issue certificates within 10 working days of receiving the verified results
- We process appeals against results that your own internal procedures cannot resolve, within 40 working days
- We resolve Walled Garden and ILM website issues within two working days, or let you know if it is going to take longer
- We send out resources and materials within five working days of your order arriving
- We ask you for feedback on our customer service
- We process and action external verification reports for UK centres within 10 working days of the visit or activity (reports for international centres do take longer)
- We process membership applications within five working days, and Fellowship applications within six weeks
- We confirm event bookings within two working days of receiving them, and send out joining instructions at least 10 working days before the event
- We pay your invoices and claim forms in line with the terms and timescales you agreed with the Finance Team
- We review and publish our fee information annually
- We set out our quality assurance arrangements in the ILM centre manual.

2.2 Our Customer Service team

The Customer Service team is your first point of contact when you have a query, or need any information, support or assistance. You can call them on 01543 266867, any time between 8.30am and 5.00pm Monday to Friday (voicemail at other times) and they will help with any enquiries, including:

- centre approval
- registrations
- Schedules of Results
- certificates
- qualifications (UK, international and defence)
- endorsed and development programmes
- learning resources and tutor support materials
- marketing materials including brochures, leaflets and exhibition stands
- Walled Garden passwords and access
- access to the centres area of the ILM website.

Customer Service Team
ILM, Stowe House, Netherstowe
Lichfield, Staffordshire. WS13 6TJ

T +44 (0) 1543 266867
F +44 (0) 1543 266893
E customer@i-l-m.com

2.3 Comments, complaints or compliments

If you have any comments, complaints or compliments about our customer service, we would welcome your email at: complaintsandcompliments@i-l-m.com

2.4 Business Managers and Quality Managers

The Customer Service team liaises with your local Business Manager, Business Consultant, Quality Manager and Quality Consultant.

Your Business Manager or Business Consultant looks after the customer relationship and is there to give you advice and guidance on the qualifications or programmes that suit your clients and your business, as well as approval and re-approval. (See Sections 3.2.1 and 3.2.3).

Your local Quality Manager or Quality Consultant runs the process for approving centres and providers, and renewing approval every four years. They ensure that every centre achieves and maintains a high level of quality assurance during and after approval or re-approval, and they're in close contact with the External Verifier team.

2.5 Marketing support

We support our approved centres and recognised providers with a range of marketing material and services to help you communicate the benefits of ILM qualifications to customers and learners, including:

- Edge – a regular copy of our leadership and management magazine
- thought leadership research – access to ILM research to support your teaching, sales and marketing including free copies of research reports together with tutor support materials on the key themes
- website centre search – centre or provider listing on our website accessible to employers and individual learners
- a range of communications materials to engage learners – including the qualification Q-cards providing ‘at a glance’ overview of all our qualifications
- the ‘Customer Support Toolkit’ to use at sales presentations – including the ILM corporate DVD and ‘Intro to ILM’ Powerpoint along with promotional posters
- a ‘web to print’ service to produce co-branded marketing materials that can help you promote your business to potential customers
- the ILM directory of studying membership benefits – to use at induction and raise awareness of our valuable free membership offer for your learners (see Section 2.8)
- online PR toolkit – including guidance notes and press release templates to help you to raise your media profile
- the opportunity to use the ILM name and logo in promotional materials
- exhibition stands on loan – free apart from return and insurance.

2.6 Using the ILM logo

Using the ILM logo boosts your profile and helps promote ILM programmes when it’s on your stationery and prospectuses, promotional material and press advertisements, and signs and exhibition stands.

It is important that you use the correct form of the logo – either Approved Centre or Recognised Provider - and use it appropriately. You can access the logo in the [Resources](#) section of the website or by contacting the Customer Service team on 01543 266867 or email customer@i-l-m.com

There’s more on the use of the ILM logo at: www.i-l-m.com/logo

2.7 Sources of funding

We offer a range of qualifications that attract public funding. However, there are different arrangements in England, Scotland, Northern Ireland and Wales, and they do change.

So for the latest information visit the funding pages on the ILM website: www.i-l-m.com/funding

If you are running funded programmes you’ll find it useful to refer to the list of ILM programme codes. They include all the Ofqual (formerly Qualifications and

Curriculum Authority, QCA) and Scottish Qualification Authority (SQA) qualification codes, together with qualification end dates and last certification dates.

For more information on current qualifications, go to:

www.i-l-m.com/programmecodes

For details of expired qualifications contact the Customer Service team on 01543 266867 or email customer@i-l-m.com

2.8 Free studying membership for your learners

Studying membership is free to anyone registered for any ILM qualification or endorsed or development programmes (except the Professional Recognition Award). The only requirement is that learners have internet access, as membership services are delivered online and all communications are by email.

Learners (and tutors) join online at www.i-l-m.com/activate to get study support and reading lists for ILM qualifications, along with:

- 50 e-learning modules, all mapped to ILM qualifications and units, supplemented by 300 Essentials (2-4 page summaries on key management topics), 200 Action Tips and 100 videos
- our flagship management magazine *Edge online*, emailed twice a month
- e-books and e-journals
- jobs board and a free CV review
- invitations to ILM events, with a guest speaker and the opportunity to network

Learners who activate their studying membership on or before 31 December 2010 will get one year's free studying membership; from January 2011 onwards the period of free studying membership will be for six months.

To help you promote the benefits of studying membership to your learners you can order free copies of the promotional 'Get a Boost' fold out card from the Customer Service team by calling 01543 266867 or email customer@i-l-m.com.

2.9 Professional development events

Throughout the year we run a full programme of events around the UK. These are some of our key events for supporting centres and tutors delivering ILM programmes.

Working with ILM – for new centre co-ordinators, these events provide an overview of ILM qualifications, endorsed and development programmes, registration and certification processes, together with information about managing and marketing ILM programmes. Free of charge, places limited to two per centre.

Internal quality assurance – for internal verifiers and those responsible for internal quality assurance, this covers sampling, external verification and sharing good practice.

Action learning – for any development professionals seeking to understand and employ this highly successful method of collaborative learning, these events are ideal for tutors delivering ILM leadership, coaching or action learning qualifications.

VRQ assessment – this workshop is for tutors, assessors and internal verifiers to help plan assessments, develop fit for purpose assessments, improve assessment feedback to learners and the allocation of marks in line with ILM assessment criteria and standards. The events focuses on Management VRQs at Level 3 and/or Level 2. There is an additional half day event focusing on Level 5.

Innovative programme design for ILM tutors – a brand new programme designed for trainers and facilitators who are keen to get fresh ideas for their ILM programmes and to extend their choice of learning strategies.

We're always updating our events programme, so for the most up-to-date information visit: www.i-l-m.com/centreevents

2.10 Assessment support

This is a free service for newly approved centres for level 2 to level 5 Management VRQs to give you reassurance that your marking meets ILM standards. ILM's External Assessors will review your learners' work and your marking, confirm the results and produce a Cohort Report which will give you guidance on assessment practice. (See section 3.9.6)

3 The Quality Assurance cycle

3.1 Our philosophy

Consistent quality is clearly in everyone's interests. It guarantees the integrity and value of qualifications and programmes for ILM, our approved centres and our recognised providers. So with four years between approval renewals we have to ensure that every centre maintains high quality right through the cycle, complying with the regulatory and ILM requirements.

Working with our approved centres and recognised providers, we have a clear system for monitoring quality between approvals. You run part of it within your centre – Internal Quality Assurance and Verification – and we operate the other part, External Verification and National Standardisation.

3.2 Approval – the start of the Quality Assurance cycle

3.2.1 Approved centres and recognised providers

The quality assurance cycle starts with your approval as either:

- an ILM approved centre offering ILM qualifications (with or without any endorsed or development programmes) or
- an ILM recognised provider (offering endorsed and/or development programmes only).

Approval lasts for 4 years, during which time you can apply for approval to add extra qualifications and/or endorsed or development programmes at a reduced fee.

Re-approval after 4 years is the same process as initial approval, although it naturally takes into account any qualifications and programmes added in the meantime. At the time of your 4 year re-approval, you can add as many qualifications as you like to your portfolio with no add-on approval fees.

Although approval for any Vocationally Related Qualification (VRQ) is for the full suite – Award, Certificate and Diploma at the same level for a common subject area – the centre is only approved to register learners for the programmes for which they have submitted schemes of work, session plans and so on.

So for example, if your centre has only provided this information for the Award and the Certificate, you cannot register learners for the Diploma until you have submitted the necessary programme information to the External Verifier.

3.2.2 Approval for programmes at level 6 and 7

The quality arrangements at QCF levels 6 and 7 (and equivalents) are higher than for other levels. The aim of ILM level 6 or 7 qualifications is to develop senior operational or strategic managers so if you are considering offering qualifications at this level you must be sure that you have the capacity to operate at this level with access to learners who are senior managers.

For guidelines on approval for higher level programmes please contact the Customer Service team.

3.2.3 Supporting you before you apply

If you are considering applying for approval as a centre or provider, a member of the ILM Business Development team will contact you to assess your needs and provide you with preliminary information. Your details will then be passed to your local Business Manager or Business Consultant who will give you all the advice and support you need during the approval process. You can get their contact details from the Customer Service Team on 01543 266867 or at customer@i-l-m.com

3.2.4 The cost

The centre approval fee covers two preliminary support visits from a member of the Business Development Team, along with any extra telephone or email support you may need.

You can find the cost of approval as a UK centre or provider in the fees list, at: www.i-l-m.com/fees

For the costs for international centres go to: www.i-l-m.com/fees

And for centres in the Republic of Ireland go to: www.i-l-m.com/fees

If our fees change, we will notify centres and the new information will also be displayed on the website. Our qualification and programme fees are reviewed each year and, unless otherwise notified, changes take effect from 1 September.

3.2.5 A couple of basic forms

New centres and providers need to complete an ILM account application form and a direct debit mandate, at least 10 days before the centre approval visit.

Your Business Manager or Consultant will explain all the details, or you can get both forms from the Customer Service Team.

3.3 Centre approval – to deliver qualifications

This section looks at the process for approval as an ILM Approved Centre, delivering ILM qualifications (VRQs, NVQs and SVQs). The arrangements for Recognised Providers of endorsed and/or development programmes are in Section 3.4.

3.3.1 Approved Centre Criteria

The approval process focuses on the *Approved Centre Criteria* – and you have to meet them all to be approved. All awarding organisations use these same criteria so you will recognise them if you're already a centre with another awarding body.

The full set of criteria is in Section 6.7, with examples of the type of evidence you could produce to show how you meet them all. And of course your Business Manager or Business Consultant will explain the criteria, and outline what information you need to supply.

Broadly, you have to supply or specify:

- CVs for all staff delivering, assessing or internally verifying qualifications (to show they have experience and qualifications relevant to the qualification, experience of training and/or assessment, and qualifications such as A or V units for NVQ or SVQ programmes)
- details of the resources for delivering the qualification(s)
- your management and quality systems
- your equal opportunities policy
- your appeals procedures
- information for learners, about the programme
- induction arrangements
- learner support materials
- the programme outline and content
- details of the assessment procedures
- records for learner details, progress and achievement
- the review and evaluation procedures.

3.3.2 The approval visit

Approval (and re-approval) visits are normally made by the local ILM Quality Manager or Quality Consultant. They check that you're ready to be approved, building a complete picture of the centre and establishing that you understand and can implement all the requirements.

As part of their visit they collect evidence that you meet the *Approved Centre Criteria*. So you complete the approval documents as far you can before the visit, electronically where possible. The Quality Manager or Quality Consultant then helps you complete the rest of the paperwork, either before or during the visit.

The documents include:

- the *Approved Centre Criteria* – detailing where and how you meet them
- the *Staffing Matrix* – confirming roles and responsibilities for each qualification
- the *Contract* – signed by both parties to formalise approval and agreement
- an *Action Plan*, if relevant.

3.3.3 After approval

You may start your programmes as soon as the centre representative and the ILM Quality Manager or Consultant have signed the contract. We will send you a welcome brochure and confirm:

- the qualifications you have been granted approval for
- your National Centre Number
- the ILM plaque to confirm your approved centre status (please allow six weeks)
- the invoice for the approval process.

Shortly after approval your External Verifier will make contact to provide guidance on establishing programmes and tackling your action plan, if you have one. They also discuss and agree the plan of verification activities for the next year.

3.3.4 If your details change

You must keep us informed of any changes or potential problems, including:

- changes to contact details – centre or contact name, address, email, etc.
- anything that may affect your ability to meet our requirements for delivering or assessing programmes
- any changes to the staffing of any programme
- if you're planning to run a programme that you haven't delivered in the previous two years – so we can confirm you are working to the current specification
- if you intend to stop operating as an ILM centre.

Let us know of any changes by calling the Customer Service team on 01543 266867, or emailing customer@i-l-m.com

3.3.5 Additional approvals during the four years

You can add to your list of qualifications and programmes at any time during the 4 year cycle – with approval for each qualification or programme of course. The Customer Service team can give you the information, and confirm your Business Manager or Business Consultant's contact details. Details of costs are in our fees lists (see Section 3.2.4).

When your 4 year re-approval meeting takes place, you can add as many qualifications as you like to your portfolio with no add-on approval fees

3.3.6 Qualification changes

If you have approval for an ILM qualification that's due to be replaced by an updated or newer version, you need to convert your approval to cover the new qualification. It's your responsibility to act on information we send you on replacement or discontinued qualifications. For our part we will always let you know about any replacement qualification as soon as we have the details, and allow as much time as we can so you can make the change with as little disruption as possible.

3.4 Recognition for endorsed or development programmes

3.4.1 The overview

As an Approved Centre delivering ILM qualifications you can also deliver any endorsed and development programmes you have approval for. Some organisations though, choose to offer only endorsed or development programmes, as an ILM Recognised Provider.

Endorsed and/or development programmes relate to leadership, management, coaching and enterprise – but you design and deliver the content to meet the needs of your clients.

The difference between endorsed and development programmes is that endorsed programmes include some element of assessment, while development programmes do not. And although they are not ILM qualifications, you're still using our name and brand, so all your ILM programmes have to meet our high standards for leadership and management development.

If you are interested in running endorsed or development programmes, please ask your local ILM Business Manager or Business Consultant for advice and guidance first. They are ready to help and will supply you with the right application form and guidance notes.

3.4.2 Applying for endorsed or development programmes

Because they carry ILM approval you need to demonstrate that you can comply with all our requirements. So you:

- complete a credit application form and send to our finance department.
- complete the application form with details of your programme and your staff and send it to your local ILM Quality Manager

The process is largely electronic and in nearly every case the decision is quick.

3.4.3 When you receive approval

Once the endorsed or development programme is approved in principle we send you a welcome pack including:

- two copies of the Letter of Endorsement or Recognition, which includes the Conditions of Endorsement or Recognition and your provider centre number
- an invoice for the appropriate endorsement or recognition fee
- your provider certificate.

Your authorised representative signs one copy of the Letter of Endorsement or Recognition, and returns it to ILM London.

At that point we activate your approval and you can begin to register programmes or learners.

3.5 Multi-site centres and approval

3.5.1 The overview

We may consider delegating authority to an organisation operating on multiple sites, so it can deliver its qualifications through a national network of satellite centres.

When we do, satellites are normally approved to offer the programmes agreed for the main (or headquarters) site, so the same programmes normally operate at each centre within the network. However, it is possible for satellites to offer different provision, while still under the single approval held by the main centre.

3.5.2 The approval process

We follow the standard approval procedure, making the approval visit to the main centre. With a multi-site centre though, we pay particular attention to its ability to assure the quality of delivery throughout the network.

A single *Approved Centre Criteria* document covers the entire network, although each main and satellite centre has its own contract, action plan, and External Verifier centre report. Each satellite centre may also have a separate staffing matrix and a codicil detailing any differences from the *Approved Centre Criteria* of the main centre.

Approval is vested in the main centre, but administratively we treat the main centre and each satellite as a centre in its own right. So each one has its own:

- centre number
- set of Qualification Specifications
- designated contact, who liaises directly with its own External Verifier (EV), Business Manager and Quality Manager, and ILM centrally
- separate mailings from ILM, and our Business and Quality Manager(s).

The centre name on documentation and on certificates for the satellite centre may be different from that for the main centre.

3.5.3 External verification for multi-site centres

The arrangements reflect the geography. So one EV generally covers centres in a single ILM region, while we may need several EVs for more widely-spread centres.

3.5.4 Quality control for multi-site centres

Multi-site centres are an exceptional arrangement. We only consider organisations with a proven reputation for quality, and during the approval process we check that the centre can maintain quality across all satellite sites within the network.

We look for quality control systems and procedures over and above those for normal approval, probably including:

- the use of standard forms/procedures across all sites
- a co-ordinating internal verification system
- a co-ordinated schedule of meetings for all the team.

At any stage, a satellite centre failing to meet the quality standards could lead us to withdraw the multi-site approval, and a return to separate approval for each centre. If the EV has any concerns about a satellite centre s/he informs the relevant Quality Manager(s) and they decide whether to address it locally, or with the main centre.

3.6 International centres and providers

There are four main models for international activity.

Approved International Centres – management programmes are run wholly from a centre based outside the UK, which has centre status in its own right.

Approved International Providers – where endorsed or development programmes are run wholly by a provider based outside the UK.

Programmes run through UK-based centres, outside the UK – with programmes run through existing UK ILM centres and providers, but delivered at a venue outside the UK. In this situation the UK centre has additional approval as an ILM International satellite centre, to register these programmes.

Foundation Award in Management Principles – an examination-based qualification.

For more information on any of these options and for information on ILM's suite of international qualifications (IQuals), please go to:

www.i-l-m.com/internationalapproval

3.7 Defence sector centres and providers

Special arrangements apply to defence-specific training courses that carry recognised ILM qualifications.

Credit is also available for past success in these courses. And for defence personnel who have completed military management and leadership training courses without taking advantage of ILM qualifications, we offer the Professional Recognition Award.

There is more information on defence-specific arrangements at:

www.i-l-m.com/defenceinfo

3.8 Our Quality Assurance strategy

This section gives you an overview of our strategy and its key components. The sections that follow then unpack the detail and give you more information and background.

The overview

- 1 Your internal quality assurance system has to:
 - be planned, to cover a representative sample of assessments
 - include the monitoring of assessments and a way of standardising assessment judgements
 - support and develop the assessment team
 - be accurately recorded to provide a clear audit trail
 - have suitably qualified and occupationally competent staff.

See Section 3.9 for more details.

- 2 Our external quality assurance system centres on the External Verifier (EV), who:
 - monitors standards of qualification and/or programme provision, assessment, internal quality assurance and operations
 - supports the centre to develop and establish effective programmes
 - acts as a channel for information between the centre and ILM.

The EV has three main contacts with you through:

- the Annual Centre Review visit
- routine or additional visits
- remote monitoring.

There's more detail on the External Verifier's role in Section 3.10.

- 3 At the heart of our quality assurance strategy and system are two linked elements. They ensure that our level of involvement with each centre is proportionate to that centre's level of development and capability, and all the associated risks.

The Qualification Quality Rating tells you:

- whether or not your centre can apply for certificates before the External Verifier (EV) has sampled programme assessments
- the minimum sample sizes for both internal and external verification.

For more details of the Qualification Quality Rating go to Section 3.11.

The Centre Support Status tells you:

- the level of support and involvement your centre has from the EV
- the percentage of internal verification that you are required to undertake.

You can see more on Centre Support Status in Section 3.12.

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3.9 Your internal quality assurance system

3.9.1 Five key features

One of the approval conditions is that you operate your own robust internal quality assurance system, to maintain the consistency and accuracy of assessments.

The five key features of an effective system are that it must:

- be planned, to cover a representative sample of assessments
- include the monitoring of assessments and a way of standardising assessment judgements
- support and develop the assessment team
- be accurately recorded to provide a clear audit trail
- be carried out by suitably qualified and occupationally competent staff.

3.9.2 How to plan your sampling

Your sample must present an accurate picture of your assessment quality, so we can all have confidence that any decisions you haven't sampled also meet the requirements. These four points will help you achieve that.

1. You must use the same sample base for both internal and external quality assurance.
2. The sample base is the candidate list for a programme once it has begun, or is a pre-determined number of learners – usually not more than 40 – on a programme with 'rolling' recruitment.
3. The sample base remains live until all learners on the list have either completed the programme, or left it.
4. From the base, plan the sample to include a representative spread across the registered learners, and to include:
 - monitoring at interim and summative stages and/or post-certification
 - all centre-marked components (listed in the *Qualification Specifications*)
 - all assessment methods
 - all units (including optional units)
 - if you have more than one assessor and/or site, decisions from them all
 - work assessed by new or inexperienced assessors
 - one learner whose work is sampled through the programme for the majority of the units to provide a benchmark
 - work which has been internally verified and work that has not
 - learners with borderline marks or with special assessment requirements

You sample a set level of assessment decisions, with the sample size determined by the Qualification Quality Rating set for that programme and/or the level of centre support required (see Section 3.11.5). For example the minimum sample for new centres is 20%. You may need to extend the sample size to make sure the sample is representative. If you need any help, contact your EV for advice.

3.9.3 Recording your assessment plan

You must record your plan, and the ILM *Registration Lists* have space for you to:

- plan your internal quality assurance samples for each component of the qualification you are marking and assessing in the centre
- indicate which learners' work you plan to select for internal quality assurance checks.

You send a copy of this plan to your EV, so they can start drawing up their own sampling plan for external quality assurance. Their verification plan will include some samples which you have quality assured internally, and some you have not.

Clearly, you may need to change the original sample plan if your assessors or learners change, or in the light of learner progress and assessment activity. But changing the plan may not necessarily mean increasing the sample size – you may just complete the initial sampling activity earlier in the programme. On the other hand it may mean that you do need a larger sample, if early samples indicate the need for further improvement in procedures.

3.9.4 Monitoring assessments

You should monitor assessments at both interim and summative stages.

Interim sampling is important because it enables your Internal Verifier to:

- identify problems early on
- provide essential support to the assessors
- avoid turning down final decisions
- develop the assessment team as a whole, sharing good practice.

The monitoring process includes:

- observing the assessor in action – for instance, assessing learner workplace performance, or in activities such as giving presentations
- evaluating all aspects of their performance – including assessment planning where relevant giving feedback to the assessors
- maintaining internal quality assurance records.

It should also extend to checking that learners are fully aware of:

- the qualification they are working towards, and the assessment process
- the progress they're making towards achievement
- their right to unit certification (if provided within the qualification)
- their own role in meeting the assessment requirements
- the role of their assessor(s)
- the appeals procedure
- how to request additional support for unmet learning needs.

You must include any borderline decisions and special assessment arrangements that arise during the programme, in internal quality assurance activities.

3.9.5 Standardising assessment judgements

Standardisation – sometimes called benchmarking or moderation – is particularly important for inexperienced assessors, or where assessors are dispersed or peripatetic rather than in close daily contact.

Effective standardisation means assessors reaching their own judgements on example assessments, then comparing the results and discussing processes and outcomes to achieve a consensus. Activity like this is particularly valuable if there are changes to assessment requirements, or to the standards that NVQs and SVQs are based on.

Your assessors should all be familiar with the ILM Strategy for Summative Assessment (section 6.10).

3.9.6 Extra support for assessment within the centre

Some new centres choose to assess key components themselves rather than have them assessed by ILM (see Section 4).

Newly approved centres who want to do the assessment themselves for the following qualifications receive extra support from our Assessment Support Team, free of charge:

Qualification	Mandatory assessment
Level 2 Certificate in Team Leading	Mini-project
Level 3 Award in First Line Management	Work-based Assignment
Level 3 Certificate in First Line Management	Change Management Report
Level 3 Diploma in First Line Management	Innovation Project
Level 4 Award in Management Level 4 Certificate in Management Level 4 Diploma in Management	Work-based Assignment
Level 5 Award in Management	Work-based Assignment
Level 5 Certificate in Management	Improvement Report
Level 5 Diploma in Management	Innovation Report

For the first cohort of your learners, their work and your marking will be reviewed by ILM's External Assessors who will make the **final decision on the results**. If your first cohort is small you need to continue submitting work for your next cohort(s) through the Assessment Support Team until we have reviewed work from at least 5 learners.

Once you have completed your internal marking for your first cohort, you must email the marked mandatory assessments for all your learners to ilmast@i-l-m.com, together with your completed mark sheets and internal verification records.

- Files must be in MS Word (.doc) or Rich Text Format (.rtf) and must not be larger than 5Mb. If your email and its attachments are over 5Mb you must send files in separate email batches as our IT system cannot handle large files.
- If you haven't had an email acknowledgement from us within 3 working days please ring Customer Service on 01543 266867 for advice, otherwise your results will be delayed.
- In the title of the file you must give the learner's name and registration number (shown on the *Registration List*).
- You also need to send:
 - details of any reasonable adjustments and special considerations you have agreed with ILM (see Section 6.6)
 - a written English translation where a script is in a language other than English or Welsh (see Section 6.3), along with:
 - the foreign language version, for random checking
 - a signed statement that the translation is accurate and does not alter the learner's responses in any way

After the External Assessor has reviewed your learners' work and your marking, we will email the final results to you as soon as possible for you to record on the *Schedule of Results* (see Section 5.4.3) before sending to your External Verifier. If you have given a learner a Pass and the External Assessor gives a Fail, you will also receive a feedback report for that candidate.

We will write a Cohort Report for you to give guidance on assessment practice and ILM standards, either for your first cohort or, if your cohorts are small, until you have submitted work for at least 5 learners. This will be sent to your Quality Manager or External Verifier.

Where your marking and the ILM External Assessor's marking is broadly similar, the Quality Manager or External Verifier will confirm that you can progress onto assessing all work internally yourself (centre-assessment).

If there are significant differences against the ILM standard, you will need to go through the assessment support process again with your next cohort of learners. The Quality Manager or External Verifier will work with you to complete any action points.

3.9.7 Supporting and developing your assessment team

The assessment support process is designed to give us and your assessors confidence in their marking. But supporting your assessment team is a continuous responsibility, especially for assessors who are new to the centre, team or qualification, or when standards or assessment requirements change.

The member(s) of staff responsible for internal quality assurance should ensure that everyone in the assessment team has:

- copies of the ILM *Qualification Specifications* and the assessment requirements and/or the relevant national occupational standards for NVQs and SVQs
- the *NVQ Code of Practice (2006)*, as best practice guidance

- ILM's Strategy for Summative Assessment (see section 6.10)
- all the information the centre produces on the assessment process, including guidance to learners, records and report forms
- information about appeals, equal opportunities, health and safety, quality and any other relevant centre policies and procedures
- information about ILM and the appointed EV(s)
- information on the learners, including special learning / assessment needs.

New assessors need induction, and we strongly recommend that you build in provision for mentoring. At the end of internal quality assurance activities all assessors should receive feedback, structured to promote the development and improvement of assessment practices.

3.9.8 ILM events to support the centre and its tutors

Our annual programme of events supports new centres and their staff. It includes:

Working with ILM – for new centre co-ordinators, these events provide an overview of ILM qualifications, endorsed and development programmes, registration and certification processes, together with information about managing and marketing ILM programmes. Free of charge, places limited to 2 per centre.

Internal quality assurance – for internal verifiers and those responsible for internal quality assurance, this covers sampling, external verification and sharing good practice.

Action learning – for any development professionals seeking to understand and employ this highly successful method of collaborative learning, these events are ideal for tutors delivering ILM leadership, coaching or action learning qualifications.

VRQ assessment – this workshop is for tutors, assessors and internal verifiers to help plan assessments, develop fit for purpose assessments, improve assessment feedback to learners and the allocation of marks in line with ILM assessment criteria and standards. The events focuses on Management VRQs at Level 3 and/or Level 2. There is an additional half day event focusing on Level 5.

Innovative programme design for ILM tutors – a brand new programme designed for trainers and facilitators who are keen to get fresh ideas for their ILM programmes and to extend their choice of learning strategies.

For details of the current programme call the Events Team on 01543 266896 or email them at events@i-l-m.com Or go online to: <http://www.i-l-m.com/centreevents>

3.9.9 Recording internal quality assurance activities

You must record your internal quality assurance activities. Many centres have devised their own effective records across a wide range of programmes, so we don't prescribe a specific format. What we do insist on is that your records are always:

- clear, comprehensive and relevant to the programme concerned
- consistently maintained, with clear comments providing an audit trail
- signed and dated

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- available to the centre's assessors as and when appropriate
- available to the EV or other ILM representatives on request.

There are pro-formas for recording activities like these in the S/NVQ Qualifications Specifications and in the centres area of our website, www.i-l-m.com
The VRQ requirements are simpler so there are no such examples for them, and you may like to devise your own forms for VRQs based on the NVQ samples.

3.9.10 Qualified and occupationally competent staff

Your Internal Verifier(s) ensure accurate and consistent standards of assessment, both between your own assessors operating across the centre, and with other centres offering the same award. As with all staff involved in delivering or assessing qualifications they have to be competent, and suitably qualified.

So you must check the qualification and occupational competence requirements for all staff involved in your quality assurance activities, in the *Qualification Specifications*. And you must support your assessors and Internal Verifier(s) in their continuous professional development (CPD), including their work to achieve the relevant assessment and quality assurance qualifications (eg A and V units which are required for NVQs and SVQs). Feedback from the assessment support process will also provide useful CPD.

You must keep the originals or validated copies of all certificates on file, with staff's current personal profiles or CVs, which must show they hold relevant qualifications at an appropriate level, and current or recent relevant occupational experience.

3.9.11 Unqualified or new staff

With new or unqualified staff, you must comply with three key requirements.

1. The decisions of unqualified assessors must be countersigned by a qualified assessor – who must not be the Internal Verifier for those decisions.
2. All internal quality assurance decisions made by unqualified staff must be countersigned by a qualified Internal Verifier.
3. Your Quality Manager/Quality Consultant must authorise all centre assessment and internal quality assurance staff, before they start work.

For your ILM Quality Manager to authorise a member of staff you need to send them their current CV and copies of certificates, including:

- their relevant management qualifications
- relevant assessment and quality assurance qualifications (eg A and V units) for NVQs and SVQs
- information on their role within the centre and the role they will play in relation to the qualification/programme.

For NVQ and SVQ programmes you should indicate who will take on the roles of Adviser, Assessor and Internal Verifier, and which level(s) they will be working on.

If everything is in order the Quality Manager completes the staffing matrix documents, and copies them to all the relevant people, including the centre and ILM.

3.10 Your External Verifier

When we approve your centre, the Quality Manager appoints an External Verifier (EV) and gives you their contact details. From the time they're appointed the EV keeps file notes of all their contact with centres, for audit purposes.

3.10.1 The External Verifier's role

The EV's role is to 'verify' – quality assure – your programmes. So they are there to:

- monitor standards of qualification and/or programme provision, assessment, internal quality assurance and operations
- support your centre in establishing and developing effective programmes
- act as a channel for information between your centre and ILM.

Their appointment is normally for the full 4-year period. Our standard policy is to change the External Verifier at re-approval, or at any time during the 4-year period if there's a potential conflict of interest, or the EV needs to adjust their workload.

Very occasionally a centre asks to change their EV. Your contact point is the local Quality Manager who appoints EVs.

Large or specialist programmes may have more than one EV. Where a centre operates programmes a long way from its own base we may appoint a more local EV for those programmes, and the relevant Operations Manager may appoint a separate EV for overseas programmes.

3.10.2 The pattern of EV visits and interventions

There are three distinct contacts between the EV and the centre, each with its own reporting system. They are:

- the Annual Centre Review visit
- routine or additional visits
- remote monitoring.

You can find detailed information on the external verification requirements for specific qualifications in the relevant sections of the *Qualification Specifications*.

3.10.3 The Annual Centre Review

The Annual Centre Review takes place once a year, on or near the anniversary of the centre's approval date. It examines the centre's operations against the *Approved Centre Criteria* (see Section 6.7) over the previous year, reviewing all aspects of the quality systems and processes, and focusing on:

- management systems
- resources (including staffing)
- learner support
- assessment and quality assurance
- records (including feedback and evaluation).

The Annual Centre Review visit and the review form generally take under a day, as the EV already has evidence for many of the criteria from their remote sampling, routine visits, any additional monitoring and the Qualification Quality Rating.

3.10.4 Routine visits

Your EV always arranges routine visits in advance, and we suggest you liaise with them early in the programme to plan the pattern of visits.

Before each visit they will let you know their requirements, and confirm them in the *Notification of Next Activity (NONA)* form. On a practical note, it does help if you can clearly explain how to get to your premises, and arrange parking where appropriate.

The *Centre Visit Report* form sets out the basic structure for the visit, although the precise format of each visit depends on the number and type of programmes involved and the stage reached. Each visit generally involves a range of activities. The precise mix depends on your programmes and circumstances, but may include:

- getting a general update on the centre's activities
- checking progress against the *Action Plan* (if you have one)
- checking and recording registrations since last visit, and pending registrations
- checking staffing status/changes against the *Staffing Matrix*, including relevant assessment and quality assurance units (eg A and V units) for NVQ and SVQ programmes
- monitoring learner support provided by the centre (including records)
- approving assessment proposals (if appropriate)
- sampling completed assessments/portfolios and examining relevant records (remember, you should retain assessed work for 6 months or until the next EV activity if you have direct claims status)
- monitoring, planning and recording of internal quality assurance activities
- signing *Schedules of Results* where applicable
- meeting/interviewing learners (if appropriate) and staff
- speaking to staff members (as appropriate)
- checking some aspects of operations against the *Approved Centre Criteria*
- providing information, advice, support and guidance
- allocating a Qualification Quality Rating to each qualification / programme listed at the visit
- outlining future requirements and/or arranging the next EV intervention.

At the end of a routine visit the EV:

- gives feedback to the Centre Co-ordinator and discusses the outcomes
- records the outcomes on the electronic *Visit Report Form*
- updates the *Action Plan* (if necessary)
- sends you a copy of the report form, by email.

3.10.5 Using electronic reporting forms

All the external verification forms are completed electronically so EVs will either use one of your PCs (with Adobe 8.1.2) or their own laptop so they can complete the

forms during their visit. If you have any queries about this, please contact your EV before the visit takes place.

3.10.6 Remote monitoring

Remote monitoring is desk-based verification / sampling of learners' assessed work. The EV gives the centre feedback using an electronic report form.

3.10.7 When and why we make additional visits

Recorded using the EV visit report form, an additional visit takes place:

- when remote monitoring has highlighted areas of concern and the centre needs additional support or checking
- when the Business Manager or Quality Manager has indicated a need for an early visit
- when it is initiated by concern that's been raised through other means – such as the media, regulators, ILM quality audits or national standardisation activities, City & Guilds or any other agencies
- if the centre requests it, in which case it is chargeable at £300 +VAT a day.

3.10.8 The roles of primary and specialist EVs

If a specialist EV is allocated to a centre there is also a primary EV. The primary EV undertakes the Annual Centre Review visit and routine visits, while the Specialist EV carries out appropriate remote monitoring and/or sampling of specific units or qualifications in their specialist area.

3.10.9 When a centre is dormant

Where a centre is inactive and has no plans for any registrations, the Quality Manager agrees with the centre to withdraw the EV and give the centre dormant status.

As and when the centre plans to become active again they need to inform the Quality Manager. If the centre is still within the 4 year approval period, but has been dormant for 12 months or more, it may need to go through a form of the approval process again, to ensure it still meets the ILM *Approved Centre Criteria*.

3.11 The Qualification Quality Rating

3.11.1 What it means

The Qualification Quality Rating does two things.

1. It determines the minimum sizes of:
 - your sampling for Internal Quality Assurance purposes
 - the sample your External Verifier (EV) will need to check.
2. It also indicates whether a qualification has Direct Claims Status. Direct Claims Status speeds up the turnaround time for certificates, as you can send the *Schedules of Results* straight to the Quality & Administration team in London, without waiting for your EV to sample work and sign the *Schedules of Results*. You will need to keep all learner evidence, including assessments, for at least 6 months or until the next EV activity.

3.11.2 Qualification Quality Ratings across qualification levels

The allocated Qualification Quality Rating applies to each individual qualification or the full suite where indicated – Award, Certificate or Diploma in each subject area for each level. So for example where the suite is at Level 3, the Award, Certificate and Diploma in First Line Management all have the same quality rating for your centre, provided your External Verifier has selected the full suite on their visit report form.

If the Qualification Quality Rating changes for, say, the Diploma, it does not necessarily change for the Award and Certificate. So you may have different Quality Ratings for programmes within the levels, or at different levels, with one rating for a level 3 programme and another for one at level 5.

3.11.3 The five Qualification Quality Ratings

The Qualification Quality Rating categories are based on the *QCA Code of Practice and Tariff of Sanctions (November 2006)*.

00	No EV signature required: Direct Claims Status - no action plan
01	No EV signature required: Direct Claims Status - with action plan
02	EV signature required
3a	Suspend registrations
3b	Suspend certification
04	Suspend all activity
05	Withdraw centre approval

Most programmes have Qualification Quality Ratings of 00, 01 or 02. We only use 3a and 3b in serious cases, and in extreme cases we may suspend (04) or withdraw centre approval (05), either for a specific qualification or for all ILM qualifications.

For the full details, and the background to our policy on suspension or withdrawal of centre approval, see Section 6.8.

Categories 3a and 3b

We only use category 3a where there is a threat to learners, and 3b where there is a risk of invalid certification. Both involve a suspension, which is a very serious course

of action that usually arises when a centre hasn't implemented previously agreed action points, or there has been a sudden and negative change in its operation.

After consultation with the EV and the Quality Manager, the Head of Quality & Administration decides on the action to take, authorising suspension where necessary. The Head of Quality & Administration and the Quality Manager also determine the level of external verification and EV visits for the centre. There may be a charge for additional support and visits.

3.11.4 Qualification Quality Ratings for new centres

For new centres, the Qualification Quality Rating defaults to category 02 (External Verifier signature required, no Direct Claims Status). This rating normally lasts for 12 months but in exceptional circumstances might be reviewed after 6 months.

The EV arranges an early visit to support the centre and if necessary can increase the minimum sample sizes suggested for the Qualification Quality Rating.

3.11.5 The Qualification Quality Rating and sampling

As you've seen, the Qualification Quality Rating indicates whether or not the centre has Direct Claims Status (DCS), and specifies the level of internal and external sampling.

Quality Rating	Certificate status	Centre's minimum sample	EV minimum sample
00	DCS	15%	10%
01	DCS	15%	10%
02	EV sign off	20%	15%
3a/3b	EV sign off	30%	20%

The Quality Rating also signifies the action plan requirements.

- The 00 rating means there are no action points outstanding.
- A rating of 01 or 02 rating means there may be action points outstanding which need to be addressed.

For 3a and 3b the EV sampling and the centre's internal quality assurance must include part of the assessed work for every learner – so every learner will have some of their work externally verified before certificates are issued.

3.11.6 Querying a Qualification Quality Rating

As a centre, you may raise a query if you have an issue with a Qualification Quality Rating. Section 6.2.5 has more information on this.

3.12 Centre Support Status

3.12.1 Low, moderate or enhanced status

The Centre Support Status – low, moderate or enhanced – determines the frequency of External Verifier (EV) activity. It is agreed once a year on or near the anniversary of centre approval, at the Annual Centre Review, and is determined by:

- the Qualification Quality Ratings
- evidence from EV reports
- Quality Audit Team reports (see Section 3.16, below)
- the date of centre approval
- any significant changes, increases or decreases in staffing
- evidence recorded during the Annual Centre Review.

Low Centre Support Status

These centres have an Annual Centre Review, a routine visit where appropriate, and remote monitoring to look at specific qualifications, typically over an 18–24 month period. There is no requirement to sample every cohort or group.

Centres with a low centre support status are likely to be those with Direct Claims Status, although for centres adding new qualifications to their existing programmes, a Qualification Quality Rating of 02 may still lead to low centre support status.

Moderate Centre Support Status

The cycle of support is planned over a one year period. These centres have an Annual Centre Review, an annual programme of remote monitoring, and routine visits covering every qualification where there are registrations.

Centres with a moderate centre support status usually have a Qualification Quality Rating of 02, with some 00 or 01.

New centres normally fall into this Centre Support Status, with the first routine visit taking place within 6 months of approval to provide support and guidance. Existing centres with this rating generally have two visits a year – the Annual Centre Review and one routine visit.

Enhanced Centre Support Status

The cycle of support is planned over a maximum one year period. As well as the Annual Centre Review, the routine visits and remote monitoring are more frequent, and certainly start within 4 months of the status being allocated.

Enhanced status centres are also likely to be required to attend ILM centre or tutor support events (there may be a charge for attending these events).

They normally have Qualification Quality Ratings of 3a or 3b, but maybe 02. So they generally have outstanding action plan points, and where appropriate, emergency support and monitoring agreed with Head of Quality & Administration.

3.12.2 Centre Support Status for new centres

New centres default to moderate centre support status, normally for their first year. The first EV intervention is generally within six months of approval, providing support and guidance. In exceptional cases it is possible to move from Moderate to Low after this first EV intervention, but only if the visit shows outstanding quality. This is usually where the Centre staff has experience in delivery or assessment of the programmes either with ILM or another awarding body within the last 3 years.

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3.13 Adding or activating qualifications within a suite

Approval for any VRQ is for the full suite – Award, Certificate and Diploma at the same level for a common subject area. So if a centre is initially delivering only the Award, the Certificate and Diploma are held on our systems as pending.

To change their status from pending to active, the centre only has to send a scheme of work / programme outline to the EV to review. If it meets all the requirements the EV contacts the Quality & Administration team and Quality Manager, who update the status. The Qualification Quality Rating for the Certificate or Diploma is initially the default 02 (EV signature required, no Direct Claims Status).

Adding on a qualification outside the existing suite automatically defaults to a Qualification Quality Rating of 02 (EV signature required, no Direct Claims Status). However, these ratings may be reviewed at 6 months after either remote monitoring or a centre visit.

Multi-site centres

For each qualification suite at each level, an overall Centre Support Status and Qualification Quality Rating applies to the main centre and any linked satellite sites.

3.14 Endorsed and development programmes

3.14.1 The overview

This manual is primarily for approved centres. Our booklet *Guidelines for Endorsed and Development Programmes* contains information – including quality assurance – for providers who are not approved centres. You can request a copy by emailing customer@i-l-m.com or get one at the *Centres Resources* section at www.i-l-m.com

3.14.2 External verification for endorsed programmes

Where the provider is already an approved centre, arrangements for visits, re-approval and monitoring generally tie in with the arrangements for ILM qualifications. So if you are planning to run an endorsed programme, let your EV know as soon as you have the dates. They can then arrange their visit schedule to fit in with the programme.

At the appropriate point in the programme the EV carries out a monitoring review, to check on progress and confirm the Qualification Quality Rating. In between annual visits the EV normally uses remote monitoring to verify samples of work that have been assessed and internally quality assured, and check records of participants' programme completion, tutorial support, assessment(s) and internal verification. The EV completes a report and sends it to the centre and the Quality & Administration team for processing.

With endorsed programmes where the Qualification Quality Rating does not include Direct Claims Status, the EV has to sign the Schedule of Results before it goes to the Quality & Administration team for processing.

3.14.3 Maintaining recognition and quality

To maintain your recognition for endorsed and development programmes you must:

- comply with any requirements on the *Action Plan*, and the *Conditions of Endorsement (or Recognition)* set out in your *Letter of Endorsement (or Recognition)*
- inform your EV promptly of any significant changes to staffing, programme content, assessment or resources.

Where endorsed programmes run continuously, the Quality Manager/Quality Consultant visits every fourth year, to review all current endorsed programmes. If everything is satisfactory they renew recognition for a further four years, for the appropriate fee.

This naturally ties in with the normal re-approval arrangements for approved centres that offer ILM qualifications as well as endorsed programmes. It is at this point that we normally appoint a different External Verifier for the coming four years.

3.15 National Standardisation

3.15.1 What we do, and why

We run a programme of national standardisation to monitor and maintain the consistency of standards, year on year:

- across centres, units and qualifications at the same level with the same title
- where identical units are assessed using different methods
- between centre-assessed and ILM-assessed components.

To that end we review assessed work from a range of centres every year, so from time to time we may ask you to submit assessed work to our Assessment Support Team. If your centre is selected we will give you full details of what happens at every stage in the process.

The purpose of the review is to improve consistency. If the ILM team disagrees with your assessment we will give you detailed feedback and support, that will generate an action plan. But the team's findings do not affect the outcomes for individual learners. We do not overturn the original results, whatever the outcome of the review.

3.15.2 Keeping assessed work

You must retain all scripts – and other relevant documents with the appropriate level of internal quality assurance that your Qualification Quality Rating determines – for at least six months after receiving the learners' certificates.

3.16 How we quality assure our own systems

Our regulatory bodies require us to carry out self-assessment, and assure the quality of our systems and procedures. So our Quality Audit Team visits centres to help assure the integrity of the qualifications for everyone's benefit, and we depend on your valuable co-operation as we work to find and make improvements. On these visits they collect information that:

- helps us improve our systems and procedures continuously
- feeds into our self-assessment
- provides evidence for audits that the regulatory authorities carry out.

The team makes random spot checks with centres to check on the quality of our operations. During these audit visits they focus solely on ILM systems and procedures, and do not look at the centre's operations at all. If your centre is selected for a visit by the Quality Audit Team we will contact you to arrange a convenient time. That's the only advance notice there is – Quality Audit Team visits are more or less unannounced, to maintain the integrity of the process.

Immediately after the visit we prepare a report for the Quality Manager, Business Manager and External Verifier – but not the centre, as the audit is on ILM systems and procedures alone. However, the EV does generally give the centre contact an overview at their next visit and feeds back any action points.

If you would like more information on quality audit processes please call the Customer Service Team on 01543 266867, or email customer@i-l-m.com

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4 ILM (external) assessment

4.1 ILM-assessed components of VRQs

You can choose to have ILM carry out the assessment of key components of VRQs externally, rather than assessing them within the centre yourself.

ILM assessment is:

- only available for learners completing a whole VRQ, not units
- not available for the Level 2 Award in Team Leading, or any Level 6 or 7 qualification.

We assess these key components.

Qualification	ILM-assessed component
Level 2 Certificate in Team Leading	Mini-project (<i>approx 700 words</i>)
Level 3 Award in First Line Management	Work-based Assignment (<i>approx 1200 words</i>)
Level 3 Certificate in First Line Management	Change Management Report (<i>approx 2000 words</i>)
Level 3 Diploma in First Line Management	Innovation Project (<i>approx 3000 words</i>)
Level 4 Award and Certificate in Management	Work-based Assignment (<i>approx 3000 words</i>)
Level 4 Diploma in Management	Work-based Assignment (<i>approx 2000 words</i>)
Level 5 Award in Management	Work-based Assignment (<i>approx 2000 words</i>)
Level 5 Certificate in Management	Improvement Report (<i>approx 4000 words</i>)
Level 5 Diploma in Management	Innovation Report (<i>approx 5000 words</i>)

4.1.1 Reasonable adjustments

If you need to apply for reasonable adjustments or special considerations for a learner for ILM-assessed components, the guidelines are in Section 6.6.

And if you are unsure about anything, please ask the Customer Service team. They will put you in touch with the Chief Assessor, or the Assessment & Qualifications Executive if necessary.

4.2 The quality of ILM assessment

4.2.1 Our quality assurance

We assure the quality of the assessments we carry out, in a number of ways.

- ILM External Assessors:
 - never assess work from centres where they externally verify or work
 - are qualified and experienced people, drawn from our team of External Verifiers
 - have a minimum of a year's active service as an ILM External Verifier, and recent experience of marking similar assessments within centres
 - receive thorough training and regular updating.
- Lead Assessors quality assure all assessment decisions before centres receive the outcomes. This includes all assessments the ILM External Assessor has failed, along with borderline cases and a representative sample of the remainder. So no learner's work can be failed on the basis of an individual evaluation.
- The Chief Assessor receives regular qualitative and quantitative reports, as an overview. And standardisation activities take place at least twice a year, with Lead Assessors sending reports on trends and other key issues to the Chief Assessor.
- The Chief Assessor and the Quality, Audit & Compliance Manager carry out additional quality monitoring.

4.2.2 Feedback for centres

We regularly give centres constructive feedback, to help identify and make improvements to their support and guidance for learners. We do this by:

- the Chief Assessor's bi-annual electronic Assessment Report to Centres, covering general and qualification-specific issues
- giving specific feedback and advice where a centre has produced a high rate of unsatisfactory scripts, with the EV acting as communication channel between the centre and the Chief Assessor, ILM Assessment Team and Quality Manager.

4.2.3 Confidentiality and security

All ILM staff do everything possible to ensure that we protect the confidentiality and security of all material from centres, learners and sponsors.

4.3 How the process works

4.3.1 Allocating your ILM External Assessor

We allocate an ILM External Assessor for a specific registered programme – not for the centre – so you may have different people assessing over a period of time.

Once you have registered your learners we then send you the *Registration List* and *Schedule(s) of Results*.

4.3.2 Submitting work for ILM-assessed components

Work for ILM-assessed components must be submitted by email. If there are exceptional circumstances which mean you cannot use email, please contact the Customer Service Team for advice.

Our turnaround time for ILM-assessed components is 25 working days.

- Send your learners' work by email to ilmassessment@i-l-m.com with each learner's work in a separate file
- The maximum file size is 1 Mb and must be MS Word (.doc), Rich Text Format (.rtf) or PDF files. If the attachments to your email are over 5Mb you must send files in separate email batches.
- As our IT system cannot receive emails over 5Mb, if you haven't had an email acknowledgement from us within 3 working days you must ring Customer Service on 01543 266867 for advice. Otherwise your results will be delayed.
- In the title of the file you must give the learner's name and registration number (shown on the *Registration List*).
- You also need to send:
 - details of any reasonable adjustments and special considerations you have agreed with ILM (see Section 6.6)
 - a written English translation where a script is in a language other than English or Welsh (see Section 6.3), along with:
 - the foreign language version, for random checking
 - a signed statement that the translation is accurate and does not alter the learner's responses in any way

4.3.3 After assessment

- The ILM External Assessor normally notifies the centre of the results of the external assessment within 25 working days. There may be delays though, if any queries arise or you submit work for assessment outside the time indicated on the Registration Form.
- Lead assessors carry out quality assurance checks before you are given any results. They verify all *fail* results and any borderline cases, together with a representative sample of the rest of each batch of assessments.
- External assessment results appear simply as *Pass* or *Fail* on a copy of the *Registration List*. Stamped in red, this is the original document that the EV uses when signing *Schedules of Results*.

- We do not:
 - give actual marks
 - return scripts, with or without assessors' notes
 - communicate about individual learners' work, apart from the result
 - give individual feedback to learners.
- However, where a learner does not meet the required standard the ILM External Assessor attaches a *Feedback Form* to their *Mark Sheet*. This identifies which of the assessment criteria they have either inadequately covered or not met, and gives the centre the information it needs to give the learner tutorial guidance for a resubmission.

By linking the references on the *Feedback Form* to the learning outcomes and indicative content in the *Qualification Specifications*, tutors and learners can clearly identify where extra work is needed.

- Where there is a high level of failure among learners from the same centre, we may also provide generic feedback and advice on the set of scripts overall.
- If the learner or their sponsor wants to keep their work, you must make copies before sending it off. We retain and archive learners' work for audit purposes and do not return any learner's work or consider making copies.

4.3.4 Referral and reassessment

Where a learner is unsuccessful at an ILM-assessed component at their first attempt, they are entitled to a second attempt before the *Schedule of Results* is completed.

Where a learner is unsuccessful in one assessment component, we will grant a referral. This gives the learner the chance to rework this assessment, normally within 3 months. If this rework is satisfactory the qualification will be awarded. If it isn't the learner fails and has to re-register and repeat the programme and associated assessments.

You'll find full details in the appropriate *Qualification Specifications*.

4.3.5 Email resubmissions for ILM assessment

- You must resubmit work for ILM-assessed components by email using the process given in section 4.3.3.
- Resubmissions must be:
 - sent to the ILM External Assessor who marked the original work (as shown on the Feedback Form) with a fresh *Mark Sheet*
 - the whole component – we do not accept reworked fragments or sections
 - made within three months of the date stamped on the original feedback form (EA5). Any exceptions to this must be agreed with us, in writing
- If the final date for resubmission falls outside the end of the learner's registration period, you must apply in writing or email to the Assessment & Qualifications Executive, for an extension to the registration period. You must then attach a copy of the written approval of extension to the resubmitted scripts.

4.3.6 Retaining records

For audit purposes, you must retain the red-stamped *Registration Lists* that show the assessment outcomes, for a rolling period of 4 years.

4.3.7 Appeals

You can see the set procedure for appealing against an assessment decision for ILM-assessed components in Section 6.2.2 of this manual.

You should also check the relevant set of *Qualification Specifications*.

5 Programme administration

5.1 What we expect and require

5.1.1 Our operating terms and conditions

This section sets out our formal terms and conditions – the rules you sign up to when you become an approved centre. Along with the other documents set out below, they form part of our legal agreement so you need to know them from the start.

As a centre or recognised provider you must at all times:

- operate to:
 - the policies, regulations, requirements, procedures and guidelines in this manual
 - the *Qualification Specifications* and *Guidance Notes* that we issue
 - any revisions or additions to those policies, regulations, requirements, procedures, guidelines and specifications that we make from time to time
- comply with our conditions of payment (see section 5.6)
- comply with the requirements (including *Codes of Practice*) of any relevant regulatory authority – for example you must retain records of assessment and internal quality assurance for a rolling period of 4 years
- when requested, give ILM and the appropriate regulatory bodies access to:
 - premises, meetings, learners and staff, and all relevant documents and data
 - learner assessment records and records of achievement
 - internal verification and/or quality assurance records
- inform us of any changes to the information originally provided for the centre approval process which forms the basis of your contract with ILM. This includes changes to personnel involved in the delivery, assessment and internal quality assurance of ILM programmes
- keep any confidential information about our business or affairs secure, and protected against theft, damage, loss or unauthorised access and not disclose any information of this nature to any other person. (You must ensure that your employees and agents are aware of and bound by this requirement, which does not apply to information entering the public domain through no fault of the centre)*
- comply with national laws and regulations, including the Data Protection Act.

If our external quality assurance activities show that a centre is failing to meet the full requirements of the *Approved Centre Criteria* or the relevant *Qualification Specifications*, we will take action to maintain the integrity of our qualifications.

The action we take will be in proportion to the nature and seriousness the problem. It may also lead to your centre approval being suspended or withdrawn (Section 6.8).

5.1.2 Contractual responsibilities

This section applies to centres and providers.

As well as the operating terms and conditions above, you need to understand and meet these contractual responsibilities.

The arrangements between ILM and the centre do not amount to a partnership, in the legal sense of the word 'partnership'.

The Contract between the centre and ILM:

- represents the entire understanding between the centre and ILM and neither party has entered into it relying on any statement or representation (whether negligent or innocent) except those contained or referred to in the Contract
- may only be changed if both the centre and ILM agree in writing
- is governed by English law (or Scottish law in the case of centres or headquarter centres of multi-site organisations located in Scotland).

A centre may not transfer its rights to anyone else, or allow anyone else to exercise them without ILM's written consent.

The centre will respond to any reasonable request that we make, for information to help us check whether the centre has complied or is complying with its obligations. The centre's employees, sub-contractors and agents will provide full and accurate information when such a request is made.

If a centre is made up of a group of agencies, each one of them is responsible for the others' actions, or failures to act.

The centre will make good any loss that ILM incurs as a result of any action, failure to act, or negligence by the centre or its employees, sub-contractors or agents.

ILM is not liable for any loss the centre incurs as a result of our failure to give advice or information, or as a result of incorrect advice or information, whether or not due to ILM's negligence or that of its employees, subcontractors or agents*.

Neither the centre nor ILM is liable to the other for:

- anything that is due to circumstances outside their control
- loss of profits, goodwill or anticipated savings and/or indirect or consequential loss or damage.

The exception to this statement is that we may claim reasonable consequential operational and administrative costs and other expenses from the centre*.

* These provisions will continue even if centre approval is withdrawn.

5.2 Before you register learners

5.2.1 Data protection

Your procedures must comply with the law on data protection. You can see our data protection policy in Section 6.1 and it applies to all the information in this section, as it does to everything in this centre manual.

5.2.2 ILM programme codes, qualification and certification dates

If you are running funded programmes you'll find it useful to refer to the list of ILM programme codes, because it gives you:

- all the Ofqual (formerly the Qualifications and Curriculum Authority, QCA) and the Scottish Qualification Authority (SQA) qualification codes
- the end dates and last certification date for each qualification.

As a matter of course we keep centres updated on qualifications that are due to expire, along with news of any extensions to the dates.

You can see the list for all current qualifications at www.i-l-m.com/programmecodes

For details of expired qualifications please contact the Customer Service Team on 01543 266867 or email customer@i-l-m.com

5.2.3 Making sure your learners get credit for their learning

Under the Qualifications Credit Framework arrangements for England, Wales and Northern Ireland, your learners can achieve national credit for their qualifications, or may already have qualifications they can claim credit for. So you need to:

- register them under the Qualifications Credit Framework arrangements, so they can claim any credit they're due
- allow them credit for any prior learning towards their qualification or units.
- include the Scottish Candidate Number (SCN) if you're a Scottish centre registering a learner – the SCN is the unique identifier for all learners registered for Scottish Qualifications. You'll find further information on the Scottish Qualifications Authority website www.sqa.org.uk

All ILM qualifications are on the QCF, apart from SVQs. So you can arrange for your learners to get national credit for most ILM qualifications, as long as your centre is registered with the Learner Records Service (formerly Managing Information Across Partners (MIAP)) national database.

5.2.4 Why you need the Unique Learner Number (ULN)

All learning providers funded for Further Education and work-based learning in England, Wales and Northern Ireland must register each recorded learner with a Unique Learner Number (ULN).

5.2.5 More about the Learning Records Service

The Learning Records Service:

- is a major initiative that transforms the way the education and training sector uses and exchanges information between learning providers, learners, employers and employees
- is designed to offer increased accuracy and efficiency in identifying and sharing learner and provider demographic, participation and achievement information.
- is managed by the Skills Funding Agency under the strategic supervision of the Cross Sector Information Services Governance Board, jointly chaired by senior representatives of the Department of Business, Innovation and Skills (BIS) and the Department for Education (DfE).
- runs the Learner Register which provides the Unique Learner Number (ULN) that enables awarding organisations to transfer information about individual learner achievements onto the national database.

For information about how to register your centre and gain access to the Learner Register, phone the Learning Records Service helpdesk on 0845 6022589, email lrsupport@miap.gov.uk or go to: www.miap.gov.uk/products/lrs/implementationguide

5.3 Registration and results

Remember – we can only process results for learners who have been registered, either online or on paper registration forms.

5.3.1 Timescales

The ten week rule for NQF NVQs and SVQs

It is a regulatory requirement that NQF S/NVQ learners must be registered with us for at least 10 weeks before a claim for NQF S/NVQ certification can be made.

This rule does not apply for the new QCF NVQs.

Other programmes

Your registrations must arrive in time for us to send the registration list to your External Verifier, so they can plan the external verification of your programme with you.

For programmes lasting more than 3 months, you must register learners no later than 4 weeks after the start of the programme. For shorter programmes your learners need to be registered within a week of the start date.

Learners can activate their studying membership before they have been registered by going to www.i-l-m.com/activate

Programme completion

Learners must complete their programme within 3 years of their registration date.

5.3.2 Registering learners online

Our online learner registration system is the ILM Walled Garden. It's quick and easy to use, and available 24 hours a day, all year round.

Creating your Walled Garden account

You reach the Walled Garden at www.walled-garden.com or through the link in the top right corner of the home page at www.i-l-m.com.

At the log-in page you'll see the online form to create an account (subject to your credit status). When you've sent us the application form and we have confirmed it, we email you your centre's username and password. Then on your first log-in we ask you:

- to change your password
- for some personal details – in case we need to securely confirm your identity if you're using the online services helpdesk
- to read and agree to the site terms and conditions, before you can use it.

Registering learners

With your account up and running you can register learners online.

For each learner you **must** supply:

- their full name
- their full date of birth and gender (required by the regulatory bodies)
- information for equal opportunities monitoring.

To take advantage of the free studying membership offer (see section 2.8), you must also provide:

- Learner email addresses (home preferred)

It may sound obvious but it's very important to get all the registration details right. Any error at this stage will cause delays in processing your learners' certificates.

To make sure you register your learner for the right qualification select either:

- centre-assessed (independent assessment) or
- ILM-assessed components (external assessment)

and, for payment, either:

- full payment, or
- unit payment, or
- top-up payment.

For a step-by-step guide to online registration – including all the information to help you select the right options – go to www.i-l-m.com/WGguide

If you have any queries about the Walled Garden, registering learners online or on paper, certificates or any other topics, the Customer Service Team is there to help. You can call them on 01543 266867 or email customer@i-l-m.com

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5.3.3 Using the hard copy Registration Form

If you are unable to register learners online for any reason, please contact the Customer Service team who will arrange for hard copy registration forms to be sent to you. You can call them on 01543 266867 or email customer@i-l-m.com

5.3.4 Invoices and refunds on registration fees

After registration we send you the invoice for the registration fees, for full payment within 30 days. Registration fees are generally non-refundable, and withdrawal from the qualification programme does not constitute grounds for a refund at any stage. However, we may consider a refund in exceptional circumstances such as illness, and we look at every case on merit.

5.4 The documentation

5.4.1 The key documents - emails

We will send you all documentation by email.

Emails go to the centre or provider's primary contact and to your External Verifier (EV). If you gave us email details when you registered your learners, we also send emails to the relevant programme leader.

Registration lists

To help plan your centre's internal quality assurance samples, there's space on the VRQ *Registration Lists* for you to list the centre-marked assessments you plan to include in the sample. There's more on this in Sections 3.9.2 and 3.9.3.

For VRQs where ILM assesses the key components, the *Registration List* doubles as notification of the assessment outcomes.

Schedules of Results

We also email you the *Schedules of Results* (SoR) that list your registered learners. Please keep them safely, until you enter your learners' results at the end of the programme, and send them off to us. By saving your electronic *Schedule of Results* you can use it for more than one learner, editing and saving to accommodate different achievements.

You can send us SoR by email, either with an electronic signature or with your name typed in, as long as the form is emailed by a tutor or administrator from the centre's email system so we can verify the email address.

Results lists

As soon as we have sent out certificates we email the *Results Lists* to the programme leader, the centre or provider's primary contact and the External Verifier.

You should receive your certificates within 5 working days of receiving your results list.

You must inform us immediately if there are any discrepancies between your results and the details on the electronic *Results List*.

If you're missing either the *Registration List* or the *Schedule of Results*, or if there are discrepancies on the *Results Lists*, or if certificates do not arrive, call the Customer Service Team on 01543 266867 or email customer@i-l-m.com

5.4.2 Checking the Registration Lists

For an example of a *Registration List*, go to:
www.i-l-m.com/newregistrationlist

When your *Registration Lists* arrive it's important that you check that:

- names appear exactly as you want them shown on certificates, with the first and second names in the right order for each learner, with correct spelling

- learners are registered for the right qualification or programme title, with the right assessment route – centre-assessed or ILM-assessed components – and the right payment option (either full payment, unit payment or top-up route).

If there are any errors, call the Customer Service Team on 01543 266867 or email customer@i-l-m.com We will then update our records and send replacement registration lists and SoRs.

If some learners in the cohort have already successfully completed their qualification or programme, there will be a *P* against their names in the Pass/Fail column.

The rest of this column is left blank for you to enter *P* or *F* against the name, when the rest of the cohort results are known.

5.4.3 Completing the Schedule of Results

VRQs and S/NVQs

The *Schedule of Results* (SoR) for VRQs, NVQs, SVQs and Iquals are similar, and you can see a sample SoR for a VRQ here:

www.i-l-m.com/sampleSOR

Don't forget that if this is your first cohort for Management VRQs from Level 2 to 5 you must email the mandatory assessments, completed marksheets and internal verification records to the ILM External Assessor ilmast@i-l-m.com for a marking review. The ILM External Assessor will determine the results which will be emailed to you for you to enter onto the *Schedule of Results*. See section 3.9.6 for details.

There are five steps to completing the *Schedule of Results*.

- 1 Make sure you have the same order numbers and the registration reference numbers on your SoR and *Registration List*. (You'll find the numbers on the top line of the SoR and under the centre name on the *Registration List*).
- 2 If all the learners in your cohort took the same units, check the learners' numbers against the ones on the *Registration List*. Then circle the numbers for the learners you're claiming certificates for.
If you're sending your SoR electronically we accept them with just the numbers for the learners you are claiming for, so you can delete the numbers for the learners you are not claiming certificates for.
- 3 If the learners took different units, complete a separate SoR for each variation of units or learner, circling the relevant number(s). You can photocopy the original SoR if you need more copies.
- 4 Place a **P** for pass in the right hand column against each unit that was successfully completed and assessed, or an **F** for fail if it wasn't. The mandatory units are asterisked, and they **MUST** all be marked P or we will not issue the certificate for the full qualification.
- 5 Sign and date the SoR under *Programme Leader* at the bottom.

Endorsed and development programmes, and International Management Qualifications (IMQs)

There is a sample *Schedule of Results* for an endorsed programme here:
www.i-l-m.com/endorsedSOR

For Endorsed Programmes of more than 40 hours, there are three columns on the SoR. You complete as many columns as your learners have completed assessments. So for example, if your learners have done two assessments you complete the first two columns, leaving the third one blank.

Make sure you enter the result (**P** for Pass or **F** for Fail) for every assessment component claimed for each learner.

For Development Programmes, put *Yes* or *No* against each learner so we know which learners you are claiming certificates for.

For International Management Qualifications enter **P** for Pass and **F** for Fail against each component in the *PL* column.

5.4.4 Submitting Schedules of Results

If this is your first cohort of learners for Management VRQs at levels 2 to 5, you must send the mandatory assessments for all your learners to the ILM External Assessor for a marking review. See section 3.9.6.

In all other cases, if you do not have Direct Claims Status, send completed *Schedules of Results* by post or email to your External Verifier along with the sample assessments for quality checking (see Sections 3.11, 3.14 and 4.3.1)

Send them to your EV straightaway to avoid delaying your certificates. Your EV will verify your claim before forwarding the *Schedule of Results* onto the ILM Quality & Administration team, who process the certificates. The EV will return a copy to you for your records.

If you have Direct Claim Status send your *Schedules of Results* by email to your Administration Co-ordinator, copying in your External Verifier, or by post direct to:

Quality & Administration Team
ILM
1 Giltspur Street
London
EC1A 9DD

You should keep a copy for your records and send a copy to your External Verifier. The External Verifier will include some learners who have completed through direct claims in their sample for quality assurance.

5.4.5 Keeping records for audit and appeals

In case of audit or appeal, ILM and/or the regulatory bodies will need to review your records. So you must retain records of assessment and internal quality assurance for a rolling period of 4 years.

You only need to keep the records, not the learners' materials (such as portfolios, projects, assignments) that were used for assessment.

5.5 Certification

5.5.1 Certificate turnaround times

It takes us up to 10 working days to process certificates, from the time the signed *Schedules of Results* arrive with the Quality & Administration Team.

If you don't have Direct Claims Status, your *Schedules of Results* have to go to the EV first, so any delays in sending them to the EV will slow down our processing. To keep things moving EVs send *Schedules of Results* direct to the Quality & Administration Team for processing, rather than returning them to centres.

We send certificates direct to the centre, for the attention of the centre contact or the named tutor. And as soon as they arrive you should check that all the certificates are there, and that the details on each certificate are correct. Once you have checked everything, sign and return the acknowledgment slip.

5.5.2 Reprint and replacement certificates

We can supply a replacement or reprinted certificate if:

- the learner has lost their original
- there are errors on the original
- a learner's name changes.

If there are errors or name changes you must return the original certificate to us when you request a replacement. To order one you simply complete a replacement certificate form and send it – with the appropriate fee – to the Quality & Administration team. Your Customer Service Co-ordinator can give you all the details.

The charges for replacement certificates fees are in our *Fees Guide*, available on the ILM website at www.i-l-m.com

5.5.3 Certificate design issues

We have to satisfy several regulatory requirements on qualification certificate design. One is the need for a unique identifier code on each certificate, to enable auditing, and all ILM certificates have a unique candidate number that acts as this identifier.

For this to be acceptable we have to be able to distinguish between multiple certificates awarded to the same learner. So we include the programme number as an extra identifier, and add the word *Replacement* on a replacement or reprint.

5.5.4 Certificate translation

ILM certificates are in English. If you need a translation into Welsh, please contact the Customer Service Team.

5.6 Our charges and payment methods

5.6.1 Our charges

We clearly set out our fees for centre approval and learner registration in our *Guide to Fees*, available for the UK, Republic of Ireland and International. The guide is also available online at www.i-l-m.com and from the Customer Service Team.

If our fees change, we will notify centres and the new information will also be displayed on the website. Our qualification and programme fees are reviewed each year and, unless otherwise notified, changes take effect from 1 September.

We issue approved centres with invoices for learner registration, centre (re)approval, any learning materials purchased, and for attending ILM events.

Credit-approved centres may buy learning resources on 30 days' credit.

If you have any queries on credit, credit checks, invoice payments, statements or other financial matters the Customer Service Team can put you in touch with the Finance team.

5.6.2 Making payments to us

However you pay, our terms are 30 days from the invoice date.

UK and Ireland customers can use these payment methods.

Cheque	Make cheques payable to <i>ILM</i> and write your centre number on the back. Include details of the invoice(s) the cheque covers and send it to: ILM Finance Department Stowe House Netherstowe LICHFIELD WS13 6TJ
BACS	Send your BACS remittance advice to ILM Finance department, stating our invoice number and the date you made the payment. Please make sure you quote the ILM invoice number on the transfer details. Our bank details are: Account name ILM Sort Code 15-10-00 Account Number 21747192 Address The Royal Bank of Scotland plc London City Office 62–63 Threadneedle Street London EC2R 8LA
Direct Debit	We accept Direct Debit payments whenever it's possible, and you can get the forms you need from our Finance Department. Your local Customer Service Coordinator can give you the contact details.
Credit and debit cards	We accept most major credit and debit cards for items or events ordered through the ILM Goods Fulfilment team at ILM Lichfield.

Overseas customers have two options.

International Bank Transfer (such as SWIFT or Telegraphic)	Make the payment through your own bank with the transfer payment direct to our bank. Our bank details are as BACS, for UK and Ireland customers. When making your bank transfer please quote our invoice number as the reference. You pay the local bank charges.
Sterling Bank Draft	A draft must be drawn on a London bank and made payable to ILM.

As you can see in Section 3 and Section 6, we reserve the right to suspend registration and / or certification in cases of non-payment.

6 Policies to support programme design, delivery and assessment

1 Data protection

A guide to the legal requirements, and how to handle them

2 Complaints, appeals and malpractice

How we handle complaints and appeals – your procedures and ours

3 Our bilingual policy for Welsh and other languages

Our approach to assessment, certification and other language issues

4 Cheating and plagiarism

Guidelines for preventing and handling plagiarism

5 Equal opportunities

Our approach to equal opportunities, and what we expect of our centres

6 Reasonable adjustments or special consideration

Supporting learners with special circumstances

7 Approved Centre Criteria

The criteria for approving centres to deliver ILM qualifications

8 Withdrawing or suspending a centre's approval

Why, when and how we would withdraw or suspend centre approval

9 Accreditation of Prior Learning (APL) & credit transfer

How prior learning qualifies for credit towards a qualification, and how one qualification can count towards another

10 Summative assessment

ILM's strategy for summative assessment, how it enhances achievement in the workplace and the assessment methodologies used within ILM qualifications

6.1 Data protection

This policy applies to ILM approved centres and recognised providers.

Some definitions

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

- ‘Personal Data’ means all information that may identify a living individual, including any expressions of opinion about the individual
- ‘Sensitive Personal Data’ means information on a living individual’s racial or ethnic origin, political opinions, religious beliefs, physical or mental health, sexual life, trade union membership or criminal convictions, or proceedings relating to any criminal charges against that individual
- ‘processing’ means obtaining, recording or holding the information or data, or carrying out any operation or set of operations on the information or data including organising, adapting, altering, retrieving, disclosing, destroying or using the information or data
- ‘Data Subjects’ are the people who may give personal information to centres about themselves.

6.1.1 The data we collect, and why

In the course of dealings with ILM, we may need you to provide us with personal data in relation to:

- your employees and other staff members
- any contractors or agents your centre uses
- your registered learners.

We also need some:

- ‘Sensitive personal data’ about learners, to register and certificate them and to meet our obligations for monitoring equal opportunities
- information on learners’ email and home address, for ILM studying membership.

In addition, regulatory bodies require us to provide detailed information to measure success against agreed objectives. We may need to disclose some of the data we collect from you to those regulatory bodies.

6.1.2 Your legal responsibilities as a centre

The Act and/or the Privacy and Electronic Communications (EC Directive)

Regulations 2003 require you as a centre to:

- make sure that your Data Subjects know what you do with the personal information they give you, when you collect their Personal Data
- allow Data Subjects to prevent you from using their Personal Data for direct marketing, usually by having them tick a box on the data protection notice if they wish to opt out of this type of marketing
- have received the intended recipient’s clear consent before you can arrange to send them marketing material by email
- obtain Data Subjects’ consent before collecting Sensitive Personal Data.

As these are legal obligations we expect and assume that you will:

- obtain explicit consent for processing Sensitive Personal Data where appropriate
- provide the opt-out for direct marketing to Data Subjects
- provide the opt-in for direct marketing by email.

We may ask for confirmation and/or evidence of these relevant opt outs/ins.

6.1.3 The importance of a data protection notice

To ensure that you comply with your legal requirements when you are collecting data from data subjects, you must produce a data protection notice, so that data subjects are aware of what will be done with the personal information they give.

There is an example on the last page of this section of the policy.

Please review it with caution, and where necessary take advice before finalising your data protection notices. Please remember:

- it is an example only, that you may be able to use as the basis for your own notice(s)
- it is your responsibility to ensure that the notices you use are always accurate, and comply with any relevant data protection laws.

6.1.4 Processing personal and sensitive data

You must make it clear to your learners and staff that ILM, City & Guilds and its agents may use or otherwise process Personal Data and Sensitive Personal Data, so we can:

In relation to centres:

- fulfil our contractual responsibilities to centres, and enable centres to fulfil their contractual obligations to learners
- provide centres with details of our products and services.

In relation to a centre's employees:

- contact them directly in relation to ILM centre approval and/or our quality assurance activities, and/or to inform them of products or services that we, City & Guilds and/or selected third parties are offering
- place Personal Data relating to certain key employees and agents in directories that may be made publicly available.

In relation to learners:

- contact them directly by email or post about studying membership, ILM centre approval and/or our quality assurance activities, and/or to inform them of products or services that we, City & Guilds and/or selected third parties offer
- carry out statistical analysis – either ourselves or by third parties on our behalf
- give regulatory and industry bodies appropriate Personal Data or Sensitive Personal Data about learners where there is a contractual or legal requirement – specifically to:
 - ensure they can monitor equal opportunities in ethnicity and disability, or for other monitor such monitoring purposes

- account for learners where there is a requirement to do so
- allow them to meet the requirement to contact a learner directly, when the information is not readily accessible from another source
- pass learners' Personal Data to regulatory and industry bodies or other selected third parties, solely for the purpose of providing prizes, remuneration and awards for learners.

We may have to transfer the Personal Data outside the European Economic Area (EEA) and if we do, ILM and City & Guilds make every reasonable effort to ensure that any data we transfer receives the same protection as if it would within the EEA.

6.1.5 Maintaining and retaining accurate records

The Act requires you as a centre to ensure that the Personal Data and Sensitive Personal Data you hold is accurate and up to date.

So you should update your records regularly – at least once a quarter – and let us know straightaway if:

- there is any change or correction to any Personal Data or Sensitive Personal Data that you previously disclosed to ILM
- you delete or otherwise archive any Personal Data or Sensitive Personal Data for a Data Subject whose records you have already sent to ILM
- a Data Subject exercises their right to opt out of or refuse processing

The centre is responsible to ILM for any loss we may suffer as a result of a centre's failure to comply with the Act, or any of the obligations set out in this policy.

Data Protection Notice *[Sample only]*

We, *[centre name]*, are required to comply with the provisions of the Data Protection Act 1998 (the Act) in relation to how we handle any personal data we obtain from you. Any personal information we gather will only be used in the context of *[your employment with us OR the business we conduct with you]*. We may also collect Sensitive Personal Data about you, but only with your explicit consent in advance.

We may process all the information we obtain from you to enable us to fulfil our contractual obligations to you and we may request further information from third parties or disclose your details to other selected third parties, such as ILM, City & Guilds or their regulators or industry bodies.

We may from time to time email or post to you *[or your company]* details of products or courses we believe may be of interest to you. If you no longer require such information or you have provided us with any information that you no longer wish us to use, please call us on *[telephone number]*.

In disclosing your personal details to us, you agree that we may process and in particular may disclose your Personal Data:

- as required by law to any third parties
- to selected third parties who may process Personal Data on our behalf
- to third parties such as ILM who may use your personal data or sensitive personal data (as appropriate) to:
 - enable us to fulfil our contractual obligations to you – for example by providing you with an examination certificate;
 - contact you directly about events, courses, programmes, or ILM membership
 - carry out statistical analysis
 - pass to their regulator or industry bodies to (1) monitor equal opportunities relating to ethnicity or disability, or for other such monitoring purposes or to (2) account for learners where there is a requirement to do so, or to (3) meet their requirement to contact you directly and the information is not readily accessible from any other source
 - disclose and publish your details in directories which may contain information about the *[centre]* and
 - provide or arrange prizes, remuneration and awards
 - contact you about your ILM studying membership.
- If we pass your Personal Data to ILM it:
 - may transfer your Personal Data outside the European Economic Area (EEA) and if they do they will make every reasonable effort to ensure that any transferred data receives the same protection as if it would within the EEA
 - undertakes that it and its staff will take every reasonable step possible to protect the confidentiality and security of all material it receives, to carry out its various responsibilities.
- You have the right to have us correct any inadequacies in the personal details we hold about you, and to object to any direct marketing we carry out using your personal details. You also have the right to ask for a copy of the information we hold in our records, in return for a small fee of not more than £10. Please contact us at *[contact details]* if you want a copy of the personal data we hold about you

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6.2 Complaints, appeals and malpractice

This policy applies to ILM approved centres and recognised providers.

6.2.1 Your internal appeals procedure

One of the conditions of approval and re-approval is that you must:

- at all times encourage ILM learners and their sponsors to discuss delivery, assessment and administrative issues informally first, to try and resolve any problems or queries at the earliest possible opportunity
- must have a sound internal appeals procedure, in case a problem, disagreement, dispute or complaint cannot be resolved informally.

The starting point is that everyone should know exactly what to expect. So to make everything clear from the start, give every learner written details of the:

- content and format of the programme
- delivery methods you intend to use
- assessment system, including feedback arrangements
- assessment criteria
- support available, including arrangements for reasonable adjustments and special consideration
- centre's internal appeals procedure
- appeals procedure against ILM assessment (Section 6.2.2) where ILM assesses the programme's key components.

The features of a sound procedure

Your internal appeals procedure must state very clearly:

- the stages in the procedure
- exactly who – or which position in the centre – the person wanting to appeal should refer their issue to
- what form the appeal should be in – for example, letter or pro-forma
- any time limits for lodging an appeal, and the timescale for the centre to respond (generally given in 'working days')
- the objective and independent process the centre will use to respond to the appeal – possibly an appeals panel, consideration by a named individual, or some other appropriate alternative
- any support or representation the appellant may bring to the appeal
- how the centre notifies the appellant of the outcome
- the written records and evidence the centre keeps, and for how long.

Our involvement in your internal appeals procedure

External Verifiers and Quality Managers/Quality Consultants will give you general guidance, but they don't normally become involved in specific appeals that are still going through the centre's internal procedure.

In the rare event that the External Verifier or Quality Manager/Quality Consultant does become involved you may have to pay an additional fee, along with any associated travel and other expenses. We would always discuss this with you beforehand and the fee would depend on the level of our involvement.

Escalation to ILM

If a learner, their representative or their sponsor is still dissatisfied with something in the centre's delivery or assessment of ILM programmes, we will consider it – but only when the centre's internal appeal procedure has been exhausted.

That said, there are some issues we will not investigate – essentially anything:

- submitted to us more than 30 working days after the date on which the centre notified the learner of the result of their internal procedure
- that took place before ILM received the learner's registration
- that is or should be dealt with under an employer's disciplinary or grievance procedures
- involving another awarding organisation
- involving points of law.

What we do, step by step

So if a learner and/or sponsor is still dissatisfied, the centre's internal procedure has been exhausted and it is not an excluded issue, they can refer the matter to ILM. We do not charge for our involvement.

The appellant must send the full details of the action they are dissatisfied with, with their name and address, centre details and copies of any relevant evidence, in writing to the Head of Quality & Administration at ILM, 1 Giltspur Street, London EC1A 9DD

When we receive the appeal or complaint we:

- acknowledge receipt in writing to you and to the appellant within five working days
- check that the learner was registered with ILM at the time of the disputed action or failure to act
- check that the centre's internal appeals procedure has been exhausted
- request a copy of the centre's full file on the appeal, to be sent to ILM within 10 working days.

During this time the Head of Quality & Administration nominates an appropriate member of ILM staff as an adjudicator to review the appeal or complaint. Where necessary that adjudicator:

- can get technical advice from a Quality/Business Manager and/or External Verifier/Quality Consultant who is not attached to the centre that's involved
- may decide to ask for extra evidence from anyone associated with the appeal.

Within 30 working days of us receiving the appeals file (or extra evidence, if that was later), the Head of Quality & Administration writes to the appellant and the centre with

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the outcome of their investigation. If they consider the appeal or complaint is justified, the notification sets out any remedial action.

If the appellant is dissatisfied with the way the procedure was handled – not the decision itself – a final appeal may be possible. See section 6.2.4 below.

6.2.2 Appealing against an ILM assessment decision

The steps in an appeal

Where ILM assesses key components of a programme, a learner has the right to appeal against an ILM External Assessor's or Lead Assessor's assessment decision.

If they do:

- the centre must make the appeal on their behalf
- the appeal must be made within 21 working days of the centre receiving the assessment decision
- it must be in writing (email or letter), addressed to the Assessment & Qualifications Executive, ILM, 1 Giltspur Street, London EC1A 9DD, and come with:
 1. the materials that were the basis of the assessment
 2. the centre's records of how the assessment result was reached
 3. the current re-assessment fee (see ILM fees list on www.i-l-m.com)

When we receive the appeal we:

- acknowledge it within 5 working days, in writing to the centre
- check the centre's approved status, and the learner's registration
- pass the original piece of work to another Lead Assessor, for reassessment.

When the reassessment is done we write to the centre with the outcome of the appeal, within 30 working days of having received it.

If this decision confirms the original assessment, we will refund the re-assessment fee.

If the appellant is dissatisfied with the way the procedure was handled – not the decision itself – a final appeal may be possible. For the details, see section 6.2.4 on final appeals below.

6.2.3 If you have a complaint about ILM

There may be times when you feel that we have treated your centre unfairly, or done something in the wrong way, or done something we shouldn't have done, or not done something we should.

In that case we will investigate, except for anything:

- that happened more than 30 working days before the matter is raised
- involving another awarding organisation

- involving points of law
- that is or should be dealt with under an employer's disciplinary or grievance procedures.

What to do if you have a complaint

Most complaints are resolved quickly and informally, through discussion. So in the first instance you should discuss the matter with your Quality Manager or Business Manager – unless your complaint is about them, in which case you should contact the Head of Quality Practice or the Director of Business Development. Your Customer Service Co-ordinator will give you the contact details.

As a matter of good practice we keep records of these initial discussions, and we strongly recommend that you do too.

If informal discussion doesn't resolve the matter and you decide to raise a formal complaint, the head of your centre should write to the Head of Quality & Administration at ILM, 1 Giltspur Street, London EC1A 9DD, with full details. For us to consider the complaint we do have to receive it within 30 working days of the act (or failure to act) you are raising.

The Head of Quality & Administration nominates an appropriate member of ILM staff to investigate and adjudicate on the complaint. Where necessary that adjudicator:

- can get technical advice from a Quality/Business Manager and/or External Verifier/Quality Consultant from a region or nation other than the one for the centre that's involved
- may decide to ask for extra evidence from anyone associated with the complaint, including the records of the initial discussions..

Within 30 working days of receiving the complaint, the Head of Quality & Administration writes to the centre with the result of their investigation. If they consider the complaint is justified the notification sets out any remedial action.

There is, of course, no charge for our investigations.

6.2.4 The final appeal stage

Further appeals against the process

A further appeal is possible, if the appellant or complainant is dissatisfied with the way the procedure was handled – not the decision itself. There is no further appeal against a decision that's already been taken by this stage.

A further appeal goes to the Head of Quality & Administration at ILM, 1 Giltspur Street, London EC1A 9DD, who refers it to the ILM Advisory Council. The Council members are independent of ILM operations and report the details of all final appeals to the City & Guilds group Appeals Board.

We have to receive the appeal within 10 working days of the centre receiving our decision, or we cannot consider it. There may be a fee to cover administration costs.

The result of this appeal is final.

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6.2.5 Querying a Qualification Quality Rating

As a centre, you may raise a query if you have an issue with a Qualification Quality Rating.

You must raise the query by phone or email with your Quality Manager or the ILM Quality, Audit & Compliance Manager, within two working days of the External Verifier setting the rating.

The Quality Manager or the Quality, Audit & Compliance Manager will review the evidence and the External Verifier's rationale for recommending the Qualification Quality Rating, and discuss it with your centre within a further five working days.

If it's impossible to reach an agreement, the centre may escalate the query to an appeal, in writing to the Head of Quality & Administration at ILM, 1 Giltspur Street, London EC1A 9DD

They will then identify an independent representative to review the Qualification Quality Rating.

6.2.6 Dealing with irregularities and malpractice

Irregularities

Irregularities are situations where the centre's operations do not meet the requirements set out in this *Centre Manual* and the relevant *Qualification Specifications*.

Monitoring centre activities is a normal element in any awarding organisation's operations. Our External Verifiers, Quality Managers and Quality Consultants not only support centres, they also constantly check that they meet all the relevant requirements.

The normal route is to use the quality assurance system to report on and initiate remedial action within centres – normally through the Action Plan, which spells the improvements or changes needed, by when and by whom. With this in place the External Verifier can follow up the specifics of the required improvements and ensure compliance.

Malpractice

For our purposes malpractice is defined as:

immoral, illegal or unethical professional conduct or neglect of professional duty on the part of learners, centre staff or anyone else involved in providing a qualification, if it risks adversely affecting the integrity of ILM qualifications.

We have clear procedures for dealing with alleged malpractice.

1. If you suspect malpractice after learners have been registered, you must report it in writing to the Head of Quality & Administration within 5 working days of discovering it. Any centre that knowingly fails to disclose, or delays disclosure of such information, risks its approval being suspended or withdrawn. (Section 6.8)

2. If an ILM representative suspects any malpractice within a centre they must report it in writing to the Head of Quality & Administration, within 5 working days.
3. If we receive a report of malpractice the Head of Quality & Administration acts straightaway, appointing technically competent personnel to investigate. The investigators compile detailed reports and evidence and ILM takes appropriate remedial action – agreed with the regulatory authorities in significant cases.
4. We maintain records of all cases of malpractice and are required to:
 - immediately and automatically report all significant cases of malpractice to the regulatory authorities
 - report on all cases, if requested by the regulatory authorities
 - co-operate fully with any follow-up investigations that the regulatory authorities ask for or carry out
 - share relevant information with other awarding organisations and/or other agencies such as funding bodies
 - immediately and automatically report evidence of an invalid certificate to the regulatory authorities, and agree the appropriate action and the timescale.

6.3 *Our bilingual policy, for Welsh and other languages*

This policy applies to approved centres.

The Welsh Language

Polisi dwyieithrwydd

Mae Deddf yr Iaith Gymraeg 1993 wedi sefydlu'r egwyddor y dylai Saesneg a Chymraeg gael eu trin yn gyfartal ym mywyd cyhoeddus Cymru.

Mae ILM yn cefnogi'r egwyddor hon yn llawn ac yn adnabod a nodi cynlluniau allweddol sydd ar waith yng Nghymru. Mae deunyddiau asesu ar gael yn y ddwy iaith. Mae gennym cynllun strategol cyfredol i gyflwyno darpariaeth pellach pan mae anghenion ychwanegol yn cael eu hadnabod. Credwn fod darpariaeth ddwyieithog yn golygu mwy na chynhyrchu deunyddiau ysgrifenedig ac rydym wedi ymrwymo i gefnogi'r strategaethau dwyieithog sydd wrthi'n cael eu datblygu gan ein canolfannau Cymreig.

Ac yntau'n gorff dyfarnu, mae ILM wedi creu systemau, prosesau ac ymarfer fel bod asesu a dilysu'n gallu digwydd trwy gyfrwng y Gymraeg.

Bilingual Policy

The Welsh Language Act 1993 established the principle that in the conduct of public business in Wales, the English and Welsh languages should be treated on a basis of equality.

ILM fully supports this initiative and has identified key schemes operating in Wales, and made bilingual assessment materials available. There is a plan to introduce further provision as additional needs are identified. Bilingual provision goes beyond the production of written materials, and we are committed to supporting the bi-lingual strategies that our Welsh centres are currently developing.

ILM as an awarding organisation has established systems, processes and practice to enable assessment and verification to be conducted in the medium of Welsh.

Other languages

Within the rules of the QCF, ILM qualifications may be taught and assessed in languages other than English, Welsh and Gaeilge. This is approached on a case by case basis, and must be agreed in advance with the ILM Quality Manager. The decision will be made on the basis of whether ILM quality assurance processes can be operated to the same high standard as those applied to qualifications taught and assessed in English (and Welsh/Gaeilge).

Any ILM learner assessed in a language other than English, Welsh or Gaeilge will have this clearly stated on their QCF qualification certificate.

Translating certificates

ILM certificates are in English. If you need them translated into Welsh please contact the Customer Service Team on 01543 266867.

The translation of open or distance learning materials

Copyright in open or distance learning materials produced in partnership between ILM and various publishers may not belong to ILM alone. This includes ILM Super Series 5.

Please refer any enquiries and proposals on the translation of these materials to the Qualifications and Learning Solutions Team. They will liaise with the relevant publisher and their email address is qualifications@i-l-m.com

6.4 Cheating and plagiarism

This policy applies to approved centres and recognised providers.

6.4.1 The scope of the policy

This policy covers all ILM learners registered on qualifications and endorsed programmes. By definition it does not apply to development programmes, as they include no assessment.

The learner is accountable to you, the centre. Your responsibility to ILM is to take reasonable measures to prevent your learners from resorting to plagiarism. To this end your centre must formulate its own plagiarism policy, using these guidelines.

The External Verifier may ask to see a centre's records of all cases of proven plagiarism as part of the Annual Centre Review.

We maintain records of all notified cases of plagiarism for monitoring and audit purposes.

6.4.2 A few definitions

Plagiarism is when a learner presents or passes off someone else's work as their own. It could include:

- presenting the whole or parts of published or unpublished works as their own, without giving credit to the source by using an approved academic referencing convention
- paraphrasing the writings or ideas of another, without giving credit to the source by using an approved academic referencing convention
- copying the work of another past or present learner.

Minor plagiarism is when a substantial part of the assessment (more than 20%) is not the learner's own work, AND/OR when the learner may have inadvertently forgotten to acknowledge a source correctly.

Major plagiarism is when a substantial part of the assessment (more than 20%) is not the learner's own work AND/OR the learner is believed to have wilfully failed to acknowledge sources.

6.4.3 Preventing plagiarism

As part of your centre's responsibility for preventing plagiarism you must explain to learners:

- what plagiarism is
- how you deal with it
- the correct way to acknowledge someone else's work, using an approved academic convention.

The advice on acknowledging sources on the next page explains what learners should do. It's there for you to copy and hand out, if you need a simple guide.

Acknowledging sources

In ILM Management Reports or Consultancy Reports, please use a bibliography to list the sources of ideas and any resources you used to prepare your work. You'll find plenty of advice on preparing a bibliography on the Internet, or your tutor can help.

If you want to use quotations in Mini-projects, Projects, Work-based Assignments or similar assessments you can add a simple footnote, or acknowledge the source in a set of brackets within the text.

Where possible, avoid quoting word-for-word extracts from other sources such as textbooks, websites, academic papers, newspapers and journals.

If you do use actual quotations though, here are some guidelines:

- You may include brief quotations (up to 25 words or so) within your narrative, normally in inverted commas. If you use longer quotations make it absolutely clear that it is a quotation – perhaps with a different typeface, by indenting or with italics.

You must show the source in your bibliography for Management or Consultancy Reports, or in a footnote or in brackets within the text.

- Do not over-use quotations, or use very long quotations – ask your tutor if you are in any doubt at all. If you use more of another person's copyright work than is fair in the circumstances and/or without their permission, you may infringe their legal rights.
- There are different ways to write a bibliography, but whichever you choose use it consistently. One of the best way to acknowledge sources is the simple name/date Harvard system, and this is a simple format for referring to a book.

Hill, Peter, *Concepts of Coaching: a guide for managers* (London: ILM, 2004)

The order is:

- author's surname [comma] author's first name (or initials) [comma]
- book title in italics, no comma
- publication details in brackets - place of publication then a colon, then the publisher's name and a comma, and finally the date.

End of guidance for learners

6.4.4 Your internal plagiarism policy

Your own plagiarism policy must include details of:

- how you inform learners about what plagiarism is, and how you deal with it
- the person responsible for dealing with incidents of plagiarism in the centre – including keeping the suspected learner updated with progress, and informing them of the final ruling, and explaining their right to appeal
- the actions/stages in the internal investigation if plagiarism is suspected, including the point at which the learner is told of the suspicion/investigation
- when to report an incident to the External Verifier (who then decides who else to inform) and the form the report should be in – letter, pro-forma, etc
- the timescale for completing an investigation
- how to document and record the final ruling, and prepare a copy for the learner
- the record-keeping arrangements for all instances of suspected and/or proven plagiarism
- the sanctions for minor plagiarism – for example the learner may be requested to redo all or some of an assessment, and then if the subsequent work is of an acceptable standard, may be awarded the minimum pass mark for that assessment component
- the fact that learners who commit, or are suspected of committing, acts of major plagiarism **MUST** be reported to ILM through the External Verifier.

6.4.5 Major plagiarism reported to the ILM External Verifier

When you inform the External Verifier of suspected or proven major plagiarism, s/he records this on their centre file and sends copies to the Quality Manager and the Head of Quality & Administration

We then launch an investigation, run by a member of ILM staff whose skill and knowledge is appropriate to the circumstances. During the investigation you must co-operate fully, to help protect the integrity of the qualification(s).

If it's proved that the learner committed a major act of plagiarism, we discuss the situation with all the relevant parties and may decide to withhold certification, or provide only unit certification in the case of full-length qualifications.

6.4.6 If the External Verifier suspects plagiarism

If the External Verifier suspects that a learner has committed an act of plagiarism, s/he takes this up straightaway with the member of staff responsible for handling plagiarism at the centre, and reports the outcome to their local Quality Manager.

If that person disagrees with the External Verifier's suspicions the Quality Manager works with both parties towards a resolution. If there is no resolution the matter will be referred to the Head of Quality & Administration, whose decision is final.

6.4.7 If an ILM External Assessor suspects plagiarism

If an ILM External Assessor suspects that a learner has committed an act of plagiarism, s/he refers the matter to the appropriate Lead Assessor, who takes it up with the centre through the Chief Assessor and informs the External Verifier and Quality Manager.

6.4.8 How we deal with plagiarism

In a case of minor plagiarism we may require the learner to redo all or some of an assessment, and then if the subsequent work is of an acceptable standard we may decide to award the minimum pass mark for that assessment component.

If it's proved that the learner committed a major act of plagiarism, we discuss the situation with all the relevant parties and may decide to withhold certification, or provide only unit certification in the case of full-length qualifications.

6.5 Equal Opportunities

6.5.1 Our commitment, and yours

ILM is dedicated to improving the quality and practice of management and leadership in organisations, wherever it operates.

We understand that organisations operate within their own cultures and legal systems. However, we seek to promote genuine equality of opportunity – not only equal opportunity for all learners and potential learners, but also effective equal opportunities practice by centres and holders of our qualifications in their daily work.

We are committed to equal opportunities for all, regardless of gender, marital status, age, physical status or any disability, racial or ethnic origin, nationality, creed or religious belief, sexual orientation, age or employment status.

We have our own internal *Equal Opportunities Policy Statement* and do everything possible to ensure that no discrimination occurs during any of our procedures and processes, whether it is approval, re-approval, external assessment or external verification. We make all our staff and contractors aware of this policy and encourage them to undertake awareness training where appropriate.

We require all our approved centres and recognised providers to be committed to equality of opportunity.

Regulatory bodies also require approved centres to comply with the equal opportunities requirements of the *Statutory Regulation of External Qualifications, 2006*, the *NVQ Code of Practice and the Regulatory Arrangements for the Qualifications and Credit Framework, 2008*. Our monitoring of centres' equal opportunities practices is to ensure that they meet all these requirements.

The rest of this section applies to approved centres.

6.5.2 What we require of all Approved Centres

One of our (re)approval conditions is that your centre adopts, implements and monitors an equal opportunities policy. It must be a sound and solid overarching policy that meets the requirement of national cultural and disability legislation, and the requirements of the regulatory authorities.

The specific policy naturally complements your other human resource policies, but it must follow ILM guidance on how it covers equal opportunities. It should extend beyond reference to equality in employment and internal matters, and cover activities in relation to your learners, and clients (where relevant).

Following approval, Quality Managers and External Verifiers check that your equal opportunities policy runs through all the internal procedures relating to the recruitment, preparation and assessment of learners for an ILM qualification.

6.5.3 A framework for a sound policy

The following paragraphs give some guidance on the issues that you must cover in your policy. It is guidance though, and is not intended to be legally accurate nor does it constitute legal advice.

Distribution

In this section of the policy you must describe the arrangements for disseminating the policy throughout the organisation, and to learners, clients and associates involved with ILM programmes.

Promotion

(External for college/private training organisations, internal for in-company providers)
This should cover the wording and placing of advertisements, including non-English versions where appropriate, and any arrangements to reach groups that are historically under-represented on management programmes.

Entrance requirements

This section sets out your policy in relation to:

- standards of literacy (written and oral) and numeracy
- any previous experience required
- arrangements to support those who might have some difficulties with the programme of learning and assessment.

Enrolment and registration

This must include:

- provision for collecting the equal opportunities information required for registering learners with ILM, and
- an opportunity for (prospective) learners to notify or preferably discuss any special requirements for any:
 - support they may need, so they can participate in the programme
 - reasonable adjustments necessary to ensure access to fair assessment.

Induction

Equal opportunities issues must be covered in induction, supported by written information on your policies and backed up with details of what happens if a grievance arises. Induction should also include details of the centre's various support mechanisms – for example any crèche facilities, literacy/numeracy support, ESL provision, induction loops for the hearing impaired, and so on.

We suggest that you get written confirmation that learners have received the information, and understand it.

The programme

In this part of the policy you must detail how the centre handles equal opportunities issues in its learning delivery, both face-to-face and in learning support material. The detail might include a wide range of examples of how you avoid gender and racial stereotyping, together with evidence of monitoring delivery and materials over a period of time. It might also include details on how you meet the special needs of hearing and sight-impaired learners.

Assessment

There must be a statement confirming that assessment is entirely related to performance and in no way influenced by gender, age, race or disability. It should also make clear your commitment to fair assessment, detailing the arrangements available for learners with particular assessment requirements, without compromising the integrity of the assessment.

Remember that you must get ILM's written agreement to all requests for reasonable adjustments, as soon as possible in the programme and always before they are implemented.

Centre facilities

This may include access to buildings, provision of lifts where appropriate, toilet facilities, canteen arrangements, learning and learning support facilities, parking, induction loops and so on.

Complaints procedures

This should detail what learners should do if they have any cause for concern on equal opportunities issues, whether at recruitment, during the programme, with assessment processes or any other time. It must contain guidance on sexual and racial harassment issues, and bullying.

Staff development

You must outline the awareness training available for staff where necessary, and the pattern of any updates at appropriate intervals.

Action plan

This is where you set out the actions being taken (and planned) to ensure equality of opportunity in all the aspects listed above. It should show clearly who is responsible for taking these actions, and record positive actions.

Internal monitoring arrangements

This must describe the systems for collecting data on registrations, achievements and so on, and outline the comparison with relevant centre, regional and national data. Please remember that you must always follow data protection laws and regulations (Section 6.1)

6.5.4 How we monitor your approach to equal opportunities

At (re)approval every centre has to provide evidence of its commitment to equal opportunities. The External Verifier then monitors the implementation of the organisation's equal opportunities policy, in their routine visits.

They look for proof that you are actively pursuing an equal opportunities policy, and some of the possible evidence may include:

- a policy statement setting out your commitment to equal opportunities and anti-discrimination
- examples of how the policy is disseminated to staff, contractors, agents and learners
- how your commitment to equal opportunities and anti-discrimination is implemented in delivery and assessment
- information on how the policy relates specifically to the delivery of ILM qualifications and awards
- guidance on how to identify those who may be vulnerable to discrimination within the centre – for instance during programme delivery or assessment
- guidance on how to identify those who may be vulnerable externally – for example at a work placement, when collecting evidence or being assessed
- guidance to colleagues on what constitutes or could constitute anti-racist and anti-discriminatory practice in the delivery of ILM qualifications and awards
- guidance on how the organisation promotes this practice in the interests of learners registered for the qualifications and awards
- a list of staff with a clearly-defined responsibility and an agreed time allocation, for overseeing the implementation of the policy
- details of how the centre ensures appropriate access to buildings, facilities, learning, learning support and assessment
- agenda and meeting notes dealing routinely with equal opportunities issues
- details of the mechanisms for dealing with discriminatory practice within the organisation
- guidance on the mechanisms for regularly reviewing and revising the policy
- records and record-keeping practices relating to the equal opportunities policy and its implementation, including any complaints or appeals.

6.6 Reasonable adjustments or special consideration

This policy applies to ILM approved centres only.

6.6.1 The background

Reasonable adjustments and special consideration remove barriers that would otherwise disadvantage learners with special needs or in special circumstances. So they level the playing field – they do not give the learner in question any advantage over other learners.

Our aim is to provide the same access to assessment for all learners, including those who need reasonable adjustments or special considerations. So although we do not change the standards or criteria for an S/NVQ or VRQ, we do take a positive approach to flexible and responsive assessment strategies and methods.

There's no list that defines what merits reasonable adjustments or special consideration. Some learners may need help because, for example, they're hearing or visually impaired, or in hospital and in need of special arrangements for their assessment. Some may merit extra time on an assessment because of learning difficulties. Others may have practical difficulties, – for instance someone who doesn't currently have the necessary level of responsibility may find it hard to evidence management or leadership skills, and anyone not in paid employment could certainly have a problem.

6.6.2 Getting approval for your learners

Whatever the reason, you must get approval to adjust the assessment situation, before the event. Your External Verifier can agree minor adjustments and considerations. You must record all agreements in writing.

For more significant reasonable adjustments or special considerations you must obtain specific agreement from ILM, though. The application form is at the end of this section and it's there for you to copy and use.

When you send it in:

- the Administration Manager looks at requests for learners on an S/NVQ or an internally-assessed VRQ
- the Assessment & Qualifications Executive considers requests for learners registered on a qualification with ILM-assessed components.

6.6.3 With ILM-assessed components

When you email work for ILM external assessment, you must also attach information about any approved adjustments or considerations you have had approved:

- for minor adjustments and considerations it's enough to include a simple covering letter or email from the centre and/or EV, with the learner's work
- for significant arrangements that warrant the use of the application form, you must attach a copy of the approval to the work.

Failure to do so may seriously disadvantage the learner.

6.6.4 Some examples and situations

These are a few of the more common situations where the policy may help. It's not exhaustive and your External Verifier or Quality Manager are happy to help with specific advice and guidance.

Hearing impairment

Arrangements may include:

- communicators / interpreters (including lip speakers)
- extra time allowance
- mechanical and electronic aids
- induction loops.

Learners whose hearing loss causes a linguistic disability may have assessments with modified wording, as recommended by a specialist teacher of the deaf.

Visual impairment

Arrangements may include:

- an amanuensis (who takes dictation)
- a reader
- tapes
- question papers with large print, Braille or Moon
- a keyboard to produce typescript answers or raised type responses
- extra time allowance in a written, time-constrained assessment
- mechanical/electronic aids.

Physical impairment – permanent or temporary

Learners may be allowed

- an amanuensis and/or reader and/or interpreter
- extra time allowance
- appropriate mechanical/electronic aids.

Learning difficulties

In the case of learners with specific learning difficulties/dyslexia we may allow:

- extra time allowance
- tapes
- use of a keyboard to produce typescripts of answers.
- an amanuensis and/or a reader
- extra time allowance
- other audio/visual aids appropriate to the individual's needs.

Medical conditions

For learners with medical conditions such as diabetes, epilepsy and respiratory disorders we consider every case on its merits. For instance we may allow extra time for the assessment, if it's medically justified.

Hospitalised or confined at home

We can normally arrange assessments in hospital or at home, where it's essential.

Workplace constraints

If a learner does not have access to the right workplace circumstances for completing a work-based assignment, project or a similar assessment, we may consider alternatives such as work placements or scenario-based assessments.

In each case, you must:

- use the application form to propose the fairest alternative
- make sure that your proposals wouldn't result in unfair advantage over learners following the normal assessment route.

Absence for assessment

If a learner cannot attend any part of an assessment for any reason, you must notify your External Verifier straightaway. In some cases we may be able to agree alternative arrangements.

6.6.5 The application form

The form on the next page is the one you use to apply for more significant adjustments and consideration. You must:

- complete and return it to ILM as early as possible in the programme
- not implement any adjustment or consideration without approval.
- always use the form if you are proposing alternative assessments.

Application for reasonable adjustments or special consideration

Name of Centre

Centre Number Telephone Number.....

Centre Contact

Name of Candidate
for whom these adjustments are requested. (Please use a separate form for each learner)

Candidate Registration Number

Qualification

Assessment Component *(e.g. Work based Assignment, etc)*
.....

Reason for application: *(Please include full details, including medical evidence if relevant, and state whether the reason is temporary or permanent)*

.....
.....
.....
.....

Proposals for reasonable adjustments or special considerations: *(Include details of the amount of additional time, any special equipment, personal support or any other proposals)*

.....
.....
.....
.....
.....

Signed (for the centre) Date

Return to: Assessment & Qualifications Executive, ILM, 1 Giltspur Street, London EC1A 9DD

FOR ILM USE ONLY *(Tick the appropriate box, and provide full details in a letter to the centre of agreed adjustments where these differ from the centre's proposals as above. This form to be retained in ILM London Office, with a copy sent to the centre, the ILM External Assessor where applicable, and the External Verifier, together with a copy of the letter setting out alternatives, where this is required.)*

ILM accepts the centre's proposals as noted above

ILM will allow the alternative adjustments as set out in the attached letter

Signed (for ILM) Date

Role

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6.7 Approved Centre Criteria

Approved Centre status requires everything in the left column. The right column gives guidance on what you need to do to demonstrate success for each criterion.

1 Centre commitment, management and policies

	Criteria	Guidance notes
1.1	The centre has a single, named point of responsibility for the quality assurance and management of the programmes	This is the person to whom all correspondence will be addressed and will be identified on the front of your contract
1.2	The centre is financially sound, and makes reliable provision to support the operation of ILM programmes	Complete the account application form and send it to ILM Accounts (details are on the form). Centre approval cannot take place until the account has been approved. If you are already an ILM centre an account application form is not required
1.3	The centre's aims and policies in relation to ILM qualifications and plans for their achievement are supported by senior management and understood by the delivery, assessment and internal quality assurance team	This may be minutes of a senior management team meeting or extract from a business plan or training strategy that states that there is a commitment to leadership and management development and qualifications
1.4	The centre's access and fair assessment policy and practice is understood and complied with by learners and centre staff	This is your equal opportunities policy. It needs to have a section on training and development. There also needs to be an equal opportunities statement that talks about fair access to training and fair assessment within the learner handbook
1.5	Centre staff are aware of the ILM processes for arranging reasonable adjustments and special consideration (and for S/NVQs – particular assessment requirements) for learners, where required	Centre staff need to confirm that they have read and understand Section 6.6 of the centre manual
1.6	There is an established internal appeals procedure which meets ILM requirements, is documented and made available to all learners	Appeals procedure required giving specific actions and timescales. It should also note that if the learner is not happy with the outcome of the internal appeals procedure they have the right of appeal to ILM. See Section 6.2 of the centre manual for further guidance. You also need an appeals log to record any appeals that you may have
1.7	The roles, responsibilities, authorities and accountabilities of the delivery, assessment and internal quality assurance team across all delivery and assessment sites are clearly defined, allocated and understood	Provide guidance on the role of the trainer/assessor, internal and external verifiers in the learner handbook. Provide an organisational chart or table showing the names and roles that the person may undertake. You may need to make this qualification specific.
1.8	ILM is notified of any changes which may affect the centre's ability to meet the approved centre criteria, including changes to the personnel of the assessment and verification team	You need to confirm that you will notify ILM of any changes to staffing and seek approval for them before they become involved in a programme (this does not apply to guest speakers) and if you change your optional units, or mode of delivery

2 Programmes and learner support

2.1	<p>Information, advice and guidance about qualification procedures, assessment and practices are provided to learners and potential learners; and staff responsibilities are clearly and appropriately allocated</p> <p><i>An induction is established and details of programme and assessment are provided to learners eg a handbook</i></p>	<p>This is an induction outline. It needs to show the content and the timings. For specific details on what must be covered please refer to your programme specifications</p>
2.2	<p>Learner's development needs are matched against the requirements of the award and an agreed individual S/NVQ assessment plan is established where appropriate</p> <p><i>(This should include the appropriate diagnostics for selecting learners onto the programme)</i></p>	<p>This is the process that ensures learners are on the right level of management programme and whether they have additional learning needs. If you do not have alternative methods the best way to show this is through your learner registration form. The form needs to collect personal contact details including equal opportunities data (DoB, gender, disability, ethnic origin) which is required for ILM registration, personal contact details and e-mail (required for free studying membership). It should also include information about current job role, supervisory / management responsibility, previous qualifications and whether they consider that they may need any additional learning support.</p>
2.3	<p>Learners have regular opportunities to review their progress and goals and to revise their assessment plan accordingly</p>	<p>You can show this through your schemes of work / programme outlines (see 2.4 below) where you show where tutorials will happen and their duration. You also need a tutorial record form on which to log individual tutorial guidance given</p>
2.4	<p>The provision meets the knowledge and operational requirements for each qualification as set out in the ILM Programme/Unit Specifications</p>	<p>For each qualification (eg. L3 Award, Certificate and Diploma in FLM) that you wish to have approved you need schemes of work / programme outlines. These need to show:</p> <p>Title of qualification (including the units, credit values per unit)</p> <p>The induction</p> <p>The hours for each unit</p> <p>The minimum GLHs for the qualification</p> <p>Sequence, timing and duration of learning (both tutor and learner directed) and how this will allow the learning outcomes to be achieved</p> <p>When the tutorials will occur within the programme and their duration</p> <p>When assessment will happen, which assessments are to be used and how they meet learning outcomes and assessment criteria</p> <p>The units and learning outcomes can be cut and pasted from the specifications into your scheme of work / programme outline.</p> <p>Suggested reading list at the appropriate level.</p>
2.5	<p>Centre provision for learner support and guidance meets requirements as in ILM Programme/Unit Specifications</p>	<p>This is covered by your scheme of work / programme outlines and tutorial records (see above)</p>

3 Assessment

3.1	<p>Access to assessment is encouraged through the use of a range of valid assessment methods which comply with the requirements for specific qualifications as set out in ILM Programme/Unit Specifications</p>	<p>You need to compile an assessment pack for each qualification for use by tutor and assessment staff only. To do this you need to read your programme specifications carefully and extract all the information, paperwork/documentation that you need.</p> <p>ILM provides the mandatory assessments within the programme specifications and you can purchase the optional unit assessments from the customer service team. Once approved make sure that you have registered onto centres area of the website (see section 1.3.7 of the centre manual). Refer to section 1.3.5 for the link to ILM learning resources including assessments to purchase.</p> <p>The assessment methods for the optional units need to be indicated at approval (we suggest adding this to your scheme of work / programme outline) and you need to confirm if you are using the ILM designed assessments.</p> <p>If you want to write your own optional unit assessments, they should include the marking criteria and a copy of at least one assessment should be provided.</p> <p>All centre devised optional unit assessments and marking schemes will also eventually be discussed with your External Verifier.</p>
3.2	<p>Assessment is conducted by qualified and occupationally expert staff <i>(refer to staffing matrix)</i></p>	<p>Provide CVs for all your tutorial/assessment staff showing current and previous management responsibilities and qualifications (not marketing / promotional CVs)</p> <p>Management qualifications are not essential but staff must be able to demonstrate current occupational competence to the level that they will be teaching/ assessing.</p> <p>For S/NVQ staff A1/V1 certificates must be provided.</p>

4 Resources (including staffing)

4.1	Learning resource needs are accurately identified in relation to the specific award(s) and are made available to support the qualifications	<p>For each qualification you need to provide 2 full teaching/lesson plans (session plans) and supporting material such as powerpoint slides, handouts and reading lists. The plans must be for 1 mandatory and 1 optional unit, or where there are only mandatory units provide two mandatory unit lesson plans. Ensure that these demonstrate how:</p> <ul style="list-style-type: none"> • you will meet the learning outcomes • the indicative content will be covered (as contained within the programme specification) • learners are given the opportunity to transfer learning to the work place
4.2	Equipment and any accommodation used for the purposes of delivery and assessment complies with the requirements of relevant legislation, including health and safety, and provides access for all learners	<p>Health and safety policy Employer / public liability Insurance if appropriate Statement within Learner Handbook If you are using external training premises, your risk assessment system. <i>Even if you deliver training on your client's premises as a centre you still need your own policy and it is your responsibility to ensure that health and safety is maintained</i></p>
4.3	There is sufficient competent and qualified staff to meet the demand for delivery, assessment and internal quality assurance activity <i>(refer to staffing matrix)</i>	<p>This will be shown by the number of staff you request approval for. There must always be at least 2 for a programme to cover assessment and verification requirements plus more staff to provide back-up for unforeseen circumstances. You also need to consider the number of programmes you will have running at any one time</p> <p>You will be required to submit a profile of the staff to include evidence at the appropriate delivery level(s) of:</p> <ul style="list-style-type: none"> • Teaching and training experience • Relevant qualifications • Relevant work place experience • Recent relevant professional development
4.4	All staff involved in ILM programmes have sufficient time, resources and authority to perform their roles and responsibilities effectively	<p>This partially relates to 4.3 above. If needs be ensure you have associates on your staffing for approval. Colleges may find it helpful to provide their staff timetables to show teaching time and time for marking / administration</p>
4.5	A staff development programme is established for the delivery, assessment and internal quality assurance team in line with identified needs	<p>State if you are an Investor in People organisation Show how you will ensure that your tutor / assessment team will maintain their occupational competence and keep up to date with leadership and management theories/ thinking. This may be through ILM professional membership available at special rates for tutors and through the assessment support process (section 3.9.6) As a centre you need to keep CPD files for your staff and show that they have kept up to date</p>

5 Quality assurance

5.1	Requests are complied with for access to premises, records, information, staff and learners for the purposes of approval and external auditing	You will need to provide access to premises or produce any information we ask to see and you will confirm this when you sign the contract with ILM
5.2	Queries about the qualification specification, assessment guidance or related awarding body material are resolved and recorded	Effectively you do this on the run up to approval through discussions with your Business Manager. Keep a record of these discussions / communications and continue this after approval including contact with your External Verifier
5.3	Assessment decisions and practices are regularly sampled and findings are acted upon to ensure consistency and fairness	You need a sampling plan – a spreadsheet is often useful to plan which learners' work will be sampled. A minimum of 20% across all assessments is required for a new centre (section 3.11.5 of the centre manual).
5.4	Internal quality assurance procedures and systems are consistent with national and ILM requirements, and ensure the quality, consistency and fairness of assessment practice	You need an Internal Verification / Quality Assurance policy which must state that a minimum of 20% of all assessments will be sampled and that the sample will take into account all assessors. It is usual to also state that the % of assessments sampled may also be increased for newly approved qualifications and new assessors.
5.5	Records of internal quality assurance activities are/will be maintained in line with ILM requirements and made available for audit purposes	Provide blank copies of the documentation on which Internal Verifiers will provide feedback to the assessors on their findings
5.6	Internal quality assurance is conducted by appropriately qualified and experienced staff	This refers back to the CVs you have been asked to provide
5.7	The effectiveness of the internal quality assurance strategy is reviewed against national and ILM requirements and corrective measures are implemented	You need to set up standardisation meetings in which assessors meet to standardise their marking. In smaller centres this can be incorporated with team meetings. See section 3.9.5 of the centre manual. Internal Verifiers also need to review at least annually the level of sampling that is being carried out and whether this is appropriate to their finding on the assessors marking. Everything needs to be documented. On first approval just show a schedule for these meetings and that they will be minuted

6 Communication and administration

6.1	There is effective communication within the delivery and assessment team, and with the awarding body	<p>Establish a team meeting with standing agenda items including:</p> <ul style="list-style-type: none"> Review of each programme Learner progress Learner and Employer Evaluations (see 7.1 above) Standardisation (see 5.7 above) Review of Internal Quality Assurance (see 5.7 above) EV Visits and Reports (see 7.3 above) Equal Opportunities (see 7.2 above) Centre development and future plans (7.4 above)
6.2	Information supplied to ILM for the purposes of registration and certification is complete, accurate and meets ILM's specified timescales	<p>At first approval there is little you can do to prove this. As a centre ensure you register learners within the required timescales and that your registrations are accurate. See section 5 of the centre manual</p> <p>If you are an S/NVQ centre show what processes you will have in place to maintain the 10 week rule</p>
6.3	Learner records and details of achievements are accurate, securely stored in line with ILM requirements and available for external verification and auditing	<p>Show how you will keep learner records, ideally in individual files, each with a contents list of what will be kept in each file eg registration forms, tutorial records, assessments, mark sheets and Internal Verifier feedback if appropriate.</p> <p>Attendance lists</p> <p>Registration records, mark sheets, Internal Verifier feedback and copies of certificates must be kept within the centre for 5 years</p>
6.4	Unit (or modular) certification is made available to learners	You just need to be aware that this is available

7 Evaluation and review

7.1	Learner, employer and other feedback is used to evaluate the quality and effectiveness of qualification provision against the centre's stated aims and policies, leading to continuous improvement	Show how you will evaluate your programmes both from learners, teaching/assessment staff and employers if appropriate
7.2	Information and recording systems monitor and review learners' achievements in relation to the centre's equal opportunities policy and implementation action plan	You need a tracking database – (excel spreadsheet may be helpful) so that at any point in time you can see how your learners are progressing through their qualification. You also need a system to monitor your learners achievements (completers, withdrawals, fails) against the equal opps data that you collected initially. This needs to be reviewed at least annually in your team meetings
7.3	Actions identified by external verification visits are disseminated to appropriate staff and corrective measures are implemented within agreed timescales	See team meetings above in 6.1
7.4	The centre's achievements against its plan are monitored and reviewed and used to inform future centre qualification development activity	Often included in team meetings (see 6.1)

6.8 *Withdrawing or suspending a centre's approval*

This policy applies to ILM approved centres and recognised providers.

6.8.1 *Withdrawing approval*

Centre approval or approval for specific ILM qualification(s) may be withdrawn by our written notice to you at any time if:

- the centre contravenes the current requirements of regulatory bodies, such as the *QCA Common Code of Practice* and the *NVQ Code of Practice*
- the centre has not complied with the approval criteria, or any of our policies, regulations, requirements, procedures and guidelines – including anything in this *Centre Manual*
- there are major deficiencies in the programme operation, including assessment and internal quality assurance process, and ILM reasonably believes that the centre can no longer ensure the appropriate quality of its provision
- the centre fails to disclose malpractice (see 6.2)
- we lose the right to offer the qualifications the centre is approved for – for example if the regulator decides to withdraw our accreditation because of low learner numbers registering for the qualification
- the centre does not meet its payment terms, or does not pay us for the services we provide
- the centre – or any individual agency if the centre is made up of a group, multiple delivery/assessment sites or consortium – becomes bankrupt or insolvent or goes into liquidation, or is subject to any voluntary or compulsory winding-up resolution or order
- there is any change in control of the centre, or (in the case of multi-site centre) any change in the membership of the group
- any other part of the City & Guilds group has withdrawn your ability to offer any or all of its qualifications

You must let ILM know of any of the above events at the earliest possible opportunity, ideally before they happen but certainly as soon as they do happen.

Where it is possible, practical and reasonable we may decide not to withdraw approval immediately, preferring to:

- discuss the problem and set a reasonable time limit for resolving the issues or
- withdraw approval for one or more specific qualifications, or
- suspend the centre instead

We may still withdraw centre or qualification approval, giving you notice of at least one month.

If we remove approval we may also specify the earliest date on which you may re-apply for approval.

6.8.2 Suspending approval

We may suspend all or any of a centre's activities – for example, its ability to register learners, claim certificates or make purchase orders – for a set period, or indefinitely.

This may be to give us time to find a remedy for a situation that would otherwise lead to withdrawal. Or it could be because we feel it is the appropriate action to take to protect learners or ILM – for example if the centre is under investigation.

6.8.3 Some common factors

These provisions apply to both suspension and withdrawal.

1. Centres have the right to appeal against withdrawal or suspension of centre or qualification approval (see Section 6.2).
2. If the centre consists of a group, multiple delivery/assessment sites or a consortium, we may withdraw or suspend approval for the centre as a whole, as a result of something that one or more of the agencies has or has not done.
3. To help learners who may be affected by suspension or withdrawal, the centre must co-operate fully with us, to enable learners to continue with their qualification. This normally includes providing full details of learners' achievements to date, and any other information or action that we need to find an alternative centre.
4. We reserve the right to withdraw the centre's use of the ILM logo or any other ILM trade mark, on suspension. The right to use the ILM logo ends automatically when we withdraw approval.
5. If asked, the centre must return any originals or copies of documents that belong to ILM, in hard copy, electronic format or any other medium.
6. We are obliged to inform the regulators – and relevant third parties such as other awarding organisations – if we withdraw approval. The details we pass on will identify the centre, and specify the qualifications we have withdrawn approval from.
7. Withdrawal or suspension does not affect any earlier claims for loss between the centre and ILM, or give rise to any new ones, except that:
 - centres will make good any loss that ILM may suffer as a result of the withdrawal or suspension, if it is the result of anything the centre has or has not done
 - ILM is still entitled to any money it was due before the suspension or withdrawal (plus interest from the date of withdrawal at 3% above the base rate, for the time being, of the Royal Bank of Scotland, less any money that ILM owes the centre).

6.9 Recognition of Prior Learning (RPL) and Accreditation of Prior Learning (APL)

This policy applies to ILM approved centres only.

The notes in this section:

- give guidance on the Recognition of Prior Learning (RPL) and the Accreditation of Prior Learning (APL), in the context of the Qualifications and Credit Framework (QCF)
- apply to learners registered on accredited VRQ programmes in England, Wales and Northern Ireland.

6.9.1 What RPL/APL is

Some learners already meet the assessment requirements for a QCF unit, although they have no formal recognition or credit for it.

Recognition of Prior Learning (RPL) or Accreditation of Prior Learning (APL) is an assessment process that deals with this situation. It allows a learner to demonstrate that they already have the knowledge, understanding and/or skills required for a unit in the qualification they are now taking.

As long as they meet all the assessment requirements, RPL/APL allows learners to receive credit for their learning, whether it was through non-certificated or informal learning, or workplace experience and reflection.

6.9.2 Your role and responsibility as a centre

It is ultimately the learner's choice and responsibility to decide whether to use RPL/APL as a route to claim credit.

The regulations require you to promote RPL/APL as an option to learners. However, it is certainly not always an easier, cheaper or quicker route to a qualification, and you must be careful not to present it as such.

As an ILM centre you must:

- have policy, procedures and practices in place to support and enable RPL/APL
- get your External Verifier's approval for your policy, ideally at the time of centre approval and certainly before you use the RPL/APL process
- have a transparent, rigorous and fair decision-making process for claiming RPL/APL
- ensure that whenever, wherever and however the learning took place, the learner presents evidence that demonstrates their achievement
- have a clear pricing policy, so learners know it is not a free service
- always identify RPL/APL on the Schedule of Results, for certification.

6.9.3 Three ways to achieve RPL/APL

NB: The term of recognition of prior learning (RPL) is used within the Qualifications and Credit Framework (QCF) to encompass Accreditation of Prior Learning (APL) or Accreditation of Prior or Experiential Learning (APEL).

There are 3 ways to get recognition or accreditation of prior learning.

1. Transferring certified achievements (credits) within the QCF and SVQ units

Credit for a QCF unit is transferable. So if a learner has successfully completed a QCF unit or SVQ unit and goes on to another qualification that contains the same unit or transfers from another awarding body to ILM, they can count credit for their original success towards the new qualification. You should send a copy of their Certificate to ILM at the time of their registration.

2. Bringing in certified and assessed achievements from outside the QCF

This is where the learner wants to claim QCF credit for achievements that were certified and assessed, but are not covered by the QCF.

You map the completed non-QCF Study Programme and its associated learning outcomes, to the learning outcomes and associated assessment criteria of the appropriate QCF unit(s). To help with this you can get a range of *APL Mapping Documents* from your Quality Manager, Quality Consultant or External Verifier. If the mapping covers all the unit learning outcomes the learner's prior learning is formally recognised and they can be given RPL/APL. Remember, that if the prior learning maps to a mandatory unit or units, your Schedule of Results must clearly show that the learner has completed the mandatory component(s).

If the mapping to QCF unit(s) is incomplete and some learning outcomes or assessment criteria are not met, the learner completes assessment of the missing elements, to provide evidence that they meet the learning outcomes.

3. Counting uncertified and/or unassessed learning or achievement

A learner may claim to have undertaken formal, informal or workplace learning that was not assessed.

This can be perfectly valid, but in this situation you have to:

- explain the knowledge, skills and performance requirements are for the QCF unit(s) to the learner, and ensure they completely understand them
- give the learner a copy of the unit(s) so that they can assess themselves against the unit(s) learning outcomes and assessment criteria
- identify and document what assessment the learner needs to undergo, and/or what evidence they need to submit, to satisfy the QCF unit(s)
- use professional discussion – possibly framed around the APL mapping documents – to back up the learner's assessment and/or evidence submission, and validate their claim

If the evidence submitted is valid, complete and current, credit can be awarded.

If it isn't, or there's any doubt, the learner must complete assessment for the missing elements.

6.10 ILM strategy for summative assessment

ILM is part of the City & Guilds group, and recognised by Ofqual as an awarding organisation able to confer qualifications on the National Qualifications Framework and Qualifications and Credit Framework. With this recognition, ILM has a responsibility to ensure the standards for those qualifications issued in its name. This responsibility recognises the importance of assessment as the means by which a learner can demonstrate their achievement of the appropriate learning outcome, unit and/or programme. The assessment process is integral to the maintenance of the standards of all ILM qualifications.

Assessment definition

Assessment is a tool to measure learners' knowledge, skill and/or ability within a specified domain. It is an evaluation process used to aid learning, its transfer into practice, and measure attainment of specified learning outcomes.

Assessment is often described as summative, diagnostic or formative. There are different definitions used, but for the City & Guild group's purposes:

- a) Summative assessment is a tool for evaluating learners' attainment of the required learning outcomes of the unit and/or programme. Summative assessment may be used to confer a grade or level of competence/achievement of knowledge.
- b) Diagnostic assessment is used to identify learning needs.
- c) Formative assessment is used to aid learning and measure learners' progression towards attainment of the explicit learning outcomes of the unit and/or award, highlighting their strengths and weaknesses within the domain.

Assessment vision – enhancing achievement in the workplace

To be effective, learning needs to embrace all stages of the Kolb learning cycle. For a vocational qualification this relates to a combination of both the learning and assessment journey.

Learning outcomes and assessment design provide the quality assurance to underpin confidence in the value of the accredited qualifications.

Summative assessment and marking provides the quality control by which individual ability is evaluated.

The learning outcomes and assessment will be designed to maximise confidence that the learner has acquired the necessary skills, knowledge and understanding; is able to apply them in an organisation/work setting; and, through reflection, to adapt their individual behaviours.

Ultimately it is a partnership of ILM, employers and the learner that establishes the performance benefits (i.e. learning transfer) of the qualifications.

ILM will maintain and further develop the expertise, skills and technology required to provide a comprehensive and flexible offering of fit for purpose qualifications and tools. These will be designed to meet the full range of assessment needs identified

across our customer base in order to provide a positive and valuable learning experience as well as assuring a highly skilled workforce.

To achieve the approach described above:

- ILM will ensure that all QCF Certificate and Diploma vocationally related qualifications (VRQs) require at least part of the summative assessment to show that the learner is able to influence organisation/workplace practices. This is achieved through work-based assignments and/or reflective reviews. It is desirable that various forms of assessment are used within the overall summative assessment undertaken.
- Equally, the assessment of knowledge and understanding may be undertaken using a wider range of assessment approaches (i.e. those permitted by QCF). These include: case studies, examinations, presentations, and professional discussions. Use can be made of technology (e.g. audio/video recording) providing there is clear traceability for assessment and verification.
- Where mandatory units are part of the rules of combination for a specific qualification, the specified assessment should be used. ILM is mindful that some employers may require a more integrative approach to assessment in order to meet business requirements. Such requests will be reviewed on an individual basis in collaboration with the external verifier, and must have prior approval from the Quality Manager.
- In practice, it is anticipated that the majority of ILM QCF units will continue to be assessed via stand-alone or integrated work-based assignments or reflective reviews. However, alternative approaches such as multiple-choice or short-answer questions can be used to assess ILM QCF Awards and a part of the overall assessment 'journey' undertaken in larger qualifications (i.e. Certificates & Diplomas), where this is appropriate.

Employment and volunteering

ILM also recognise that studying for management and leadership qualifications during periods of unemployment can help individuals accelerate their return to the workforce, by formalising evidence of knowledge/capability, and (ii) extending knowledge to address gaps in past experience. Hence it may be equally valid to base work-based assignments on volunteering opportunities and reflective reviews on recent employment (typically not more than 6 months previous, during which time the learner was in a job role broadly aligned with the level of the qualification).

Pass / fail

ILM QCF qualifications focus on the reliable identification of pass vs. fail through the summative assessment. Typically the required sufficiency is aligned with a minimum overall pass mark of 50%, along with section passes for each component of the mandatory units. Details of the requirements are published within each qualification specification.

ILM QCF qualifications do not offer 'merit' or 'distinction' grades. ILM actively support the acknowledgement of exceptional achievements by learners. This includes operating a 'learner of the year' award; and supporting Centres in their own Awards events. Further opportunities to enhance this area will be explored.

While all Learning Outcomes must be assessed, section passes are only required for mandatory units (integrated or stand-alone assessment being provided by ILM). Quality assurance practices ensure that all optional units are adequately covered within the scheme of work (SoW) and thus integration of the assessment of optional units (with typically a requirement to achieve a minimum overall pass mark of 50%) is encouraged where appropriate.

ILM focus on writing QCF units with Assessment Criteria that are sufficiently detailed to support reliable, valid and consistent judgements that a learning outcome has been achieved, without creating an undue assessment burden for learners or assessors.

In preparing marking schemes for QCF VRQ units ILM accepts that some Assessment Criteria can be judged as more important than others. Moreover, a holistic approach can be taken to the combined mark allocated across several Acceptance Criteria providing they are all part of the same Learning Outcome.

Languages

Within the rules of the QCF, ILM qualifications may be taught and assessed in languages other than English, Welsh & Gaeilge. This is approached on a case-by-case basis, and must be agreed in advance with the ILM Quality Manager. The decision will be made on the basis of whether ILM Quality Assurance processes can be operated to the same high standard as those applied to qualifications taught and assessed in English (and Welsh/Gaeilge).

Any ILM learner assessed in a language other than English, Welsh or Gaeilge will have this clearly stated on their QCF qualification certificate.

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