FDQ Centre Monitoring Criteria

Introduction

These monitoring criteria are designed to meet the requirements of the:

- Regulatory arrangements for the Regulated Qualifications Framework (RQF)
- Regulatory Authorities - conditions of recognition

How these criteria fit with the overall approach to centre quality assurance is set out in the centre handbook.

FDQ use a traffic light system to indicate the Centre Quality Rating (CQR) for each centre and the Qualification Quality Rating (QQR) for each qualification. The CQR and QQR status for active centres is determined by monitoring against Centre Monitoring Criteria.

- Red indicates a high risk rating for a centre
- Amber indicates a medium risk rating for a centre
- Double amber indicates a low risk rating for a centre
- Green indicates a fully compliant centre and a very low risk rating

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Centre Quality Rating is **high risk**	Centre Quality Rating is **medium risk**	Centre Quality Rating is **low risk**	Fully Compliant Centre - Quality Rating is **very low risk**
Centre will have registration and certification rights suspended. Centre is subject to an agreed action plan detailing corrective actions and high level monitoring of centre performance.	Centre will have registration rights however automatic certification claims rights are suspended. Centre is subject to an agreed action plan detailing corrective actions and medium level monitoring of centre performance.	Centre will have registration and automatic certification claims rights. Centre is subject to an agreed action plan detailing minor corrective actions and low level monitoring of centre performance.	Centre will have registration and automatic certification claims rights. Centre is not subject to an action plan. Minimum level of monitoring centre performance.

Centre monitoring criteria

The table below sets out the Centre Monitoring Criteria. These are linked for the purposes of continuity to Centre Approval Criteria. The table provides guidance for the risk rating of criteria, and is not intended to be an exhaustive list.

Centre Monitoring Criteria		
1. Keep FDQ updated with all centre changes	⚠️⚠️ (yellow)	Failure to update with changes to initial centre approval information on physical resources and/or centre management systems.
	⚠️ (yellow)	No main centre contact. Failure to update with changes to initial centre approval information on personnel resources.
	🔴 (red)	Failure to update with critical changes to centre information and performance.
2. Keep FDQ informed of any withhold or withdrawal of centre approval by another AO	⚠️⚠️ (yellow)	
	⚠️ (yellow)	Failure to update with changes in initial centre approval information on status with other centre approvals.
	🔴 (red)	No declaration of withhold or withdrawal of centre and/or qualification approval.
3. Learners have a safe and managed environment	⚠️⚠️ (yellow)	Insufficient management of a safe environment for learners. Poor internal communication within QA team – risk to learners.
	⚠️ (yellow)	Inadequate arrangements for the safeguarding of young people and vulnerable adults.
	🔴 (red)	Ineffective or no policy, procedures and resources to manage and maintain a safe environment for learners.
4. Learners have equality of opportunity and are treated fairly	⚠️⚠️ (yellow)	
	⚠️ (yellow)	Insufficient management of equality of opportunity and diversity.
	🔴 (red)	Ineffective or no policy, procedures and resources to manage and maintain equality of opportunity and diversity and/or fair treatment in qualification provision.
5. Learners obtain a ULN or SCN and have learner plans/ records	⚠️⚠️ (yellow)	No arrangements for obtaining ULN No arrangements to access the learner's previous achievements with consent, or obtain plans/records.
	⚠️ (yellow)	No policy, procedures and resources to manage ULN/ learner plans/records.
	🔴 (red)	

6. Learners receive adequate induction and have their RPL/APL taken into account	⚠️⚠️	Inadequate arrangements for the induction of learners to qualification provision. No arrangements in place for RPL/RPA.
	⚠️	No policy, procedures and resources to manage learner induction and/or RPL/RPA.
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7. Assessment and internal quality assurance meets regulatory requirements	⚠️⚠️	Assessment methodology selected for learners does not fully meet their needs.
	⚠️	Assessment does not comply with centres' arrangements for the management and assessment/examination of learners. Insufficient record keeping of assessment and/or internal quality assurance. Insufficient evidence to demonstrate effective assessment and internal quality assurance practice. Ineffective monitoring or consistency of assessment in centre or across satellite sites. No countersigning of assessors or internal quality assurance personnel who are in training and are not fully centre recognised to operate. Inadequate or no system to track learner progress and/or achievement. Ineffective learner appeals arrangements. Ineffective arrangements for learner exemptions, proxies, reasonable adjustments and/or special considerations.
	🔴	Ineffective assessment and/or internal quality assurance processes or practice, or Ineffective management of assessment and/or internal quality assurance. No assessment or internal quality assurance policy, procedures or resources for assessment and/or internal quality assurance. No declaration of the authenticity of learner evidence in assessment. No authentication of certificate claims by Internal Quality Assurance personnel. Inadequate record keeping of assessment and/or internal quality assurance. Failure to provide adequate access to facilities, personnel and records for external quality assurance of centre.

8. There are secure and managed arrangements for learner records, examinations and achievement claims	🔺🔺	Ineffective management or insufficiently detailed learner records.
	🔺	Failure to keep adequate management records for learner records, examinations or achievement claims.
		No notification of certificates claimed in error.
	🔴	Inadequate security for the administration and/or management of examinations/tests.
		Providing inaccurate claims, information or records.
		Failure to report malpractice and/or co-operate with investigation into potential malpractice in learner records, examinations or claims for achievement.
9. There are adequate and effective personnel in place to provide qualifications	🔺🔺	
	🔺	Insufficient assessors and/or internal quality assurance personnel to provide qualifications for the number of learners registered.
		CVs and copies of certificates are not adequately recorded or maintained.
	🔴	Assessors or Internal Quality Assurance personnel do not have the required competence, qualifications or experience to perform in their role.
		No personnel in place to provide qualifications.
10. There are adequate and effective physical resources in place to provide qualifications	🔺🔺	Insufficient administration of facilities and equipment.
		Inadequate or no documentation for subcontracting or partnership arrangements.
	🔺	Insufficient facilities, tools and/or equipment resource to provide qualifications.
		Ineffective management of satellites sites and centre outreach facilities.
	🔴	Inadequate or no facilities, tools and/or equipment resource to provide qualifications.
11. The centre monitors its performance and drives quality improvement of its qualifications provision	🔺🔺	Inadequate or no relevant support, training or development of assessor and/or internal quality assurance personnel.
		Inadequate assessor and/or internal quality assurance personnel appraisal.
	🔺	Insufficient assessor and/or internal quality assurance personnel monitoring or development.
		Inadequate records of CPD or support to assessor and/or internal quality assurance personnel.
		Ineffective management of continuous improvement.
		Previous external quality assurance action plans are only

		partially or not met.
	🔴	Inadequate or no capability to monitor performance or drive quality improvement of qualifications provision.
12. Assess the impact of the Centre Quality Rating (CQR)	🔺🔺	The CQR is likely to have minimal impact and most likely would not affect the quality of qualification provision or adversely impact the learner. Issues raised can be corrected relatively quickly and easily, without impact in other areas of provision.
	🔺	The CQR is likely to have some impact and most likely would affect the credibility and integrity of qualification provision or have some detrimental impact to the learner. Issues raised can be corrected in the short term with resource implications, additional input or development required.
	🔴	The CQR is likely to have significant impact and most likely would affect the validity, credibility and integrity of qualification provision or the centre's entire effectiveness. It will have a significant impact to the learner. Issues raised must be corrected relatively quickly with resource implications, additional input or development as required.