

Registration and Certification Policy

Document Ownership

Policy owned by:	Quality
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Version Control Table

Version	Date	Author	Changes
1.0	05/08/2024	E Nicholson	Initial policy creation
1.1	30/08/2025	P Crocker	Reviewed for completeness; no changes
2.0	01/02/2026	S Gilmore	Major revision: added definitions, responsibilities, specific timeframes, quality assurance

1. Purpose

This policy establishes the framework for registering learners and apprentices with awarding organisations, managing assessment entries, and claiming certification at Hybrid Training Centre (HTC). It ensures that all registration and certification activities meet the requirements of our awarding organisation partners and maintain the integrity of the qualifications we deliver.

The policy supports HTC's commitment to accurate record-keeping, timely certification, and compliance with regulatory requirements. It provides a secure and auditable trail from learner registration through to certificate issue.

2. Scope

This policy applies to all qualifications delivered by HTC and NWTC across all frameworks, including the Regulated Qualifications Framework (RQF), apprenticeship standards, and commercially delivered qualifications. It covers all awarding organisation relationships, including City & Guilds, Pearson (BTEC and Edexcel), BPEC, LCL Awards, and any other approved awarding bodies. All staff involved in the registration, assessment, or certification of learners must be familiar with this policy and the specific requirements of the relevant awarding organisations.

3. Definitions

- **Registration:** The formal enrolment of a learner with an awarding organisation for a specific qualification or learning aim.
- **Learning Aim:** The unique code identifying a specific qualification, unit, or programme registered on the Learning Aim Reference Service (LARS).
- **Walled Garden:** City & Guilds' online registration and certification system.
- **Edexcel Online:** Pearson's online registration and certification system.
- **Exams Officer:** The designated staff member responsible for processing registrations, entries, and certification claims.
- **Course Leader:** The designated staff member with overall responsibility for the delivery and quality of a specific qualification programme.
- **Progress Spreadsheet:** The controlled document used to record learner achievement and authorise certification claims.

4. Legal and Regulatory Framework

HTC operates in compliance with the requirements of Ofqual and our approved awarding organisation partners. Key regulatory documents include:

- Ofqual General Conditions of Recognition
- City & Guilds Centre Manual and Quality Assurance Requirements
- Pearson Entries and Information Manual
- ESFA Apprenticeship Funding Rules
- Data Protection Act 2018 and UK GDPR

Important: Failure to comply with awarding organisation registration requirements may result in sanctions, including suspension of centre approval. Assessment activity conducted prior to valid registration is invalid and cannot be used for certification purposes.

5. Responsibilities

5.1 Head of Quality

- Overall accountability for registration and certification compliance
- Oversight of the Exams Officer function
- Liaison with awarding organisations on quality matters
- Receipt and secure storage of certificates

5.2 Exams Officer

- Processing all learner registrations within required timeframes
- Managing awarding organisation portals (Walled Garden, Edexcel Online, etc.)
- Processing transfers, withdrawals, and amendments
- Submitting assessment entries and certification claims
- Coordinating certificate distribution to learners

5.3 Head of Curriculum

- Verifying accuracy of registration data
- Authorising certification claims on the progress spreadsheet
- Verifying accuracy of external assessment entries

5.4 Course Leaders

- Providing accurate learner information for registration
- Checking registration accuracy within specified timeframes
- Notifying Exams Officer of transfers and withdrawals
- Maintaining accurate progress records
- Ensuring learners are aware of their registration status

6. Registration Procedures

6.1 Timing Requirements

All learners must be registered with the relevant awarding organisation at the start of teaching and before any assessment activity commences. The following timeframes apply:

- **Within 4 weeks:** Exams Officer completes registration with awarding organisation from learner commencement date.
- **Within 5 working days:** Course Leaders verify registration accuracy following receipt of registration lists.
- **Within 6 weeks:** Second audit completed and learners informed of their registration status.
- **Ongoing:** Any changes or additions processed following the same procedure.

6.2 Registration Data Requirements

The following information is required for each registration:

- Full legal name (as it should appear on certificates)
- Date of birth and Unique Learner Number (ULN)
- Qualification code and title
- Pathway or optional units (where applicable)
- Expected completion date and start date

6.3 Verification Process

Following registration, the Exams Officer will provide Course Leaders with a full list of registrations for verification. Course Leaders must check:

- All names are spelled correctly as they should appear on certificates
- Qualification codes and pathways are correct
- Optional unit combinations are valid
- Expected completion dates are realistic
- No learners have been omitted

7. Transfers and Withdrawals

7.1 Transfers Between Qualifications

When a learner transfers from one qualification to another, the Course Leader must notify the Exams Officer in writing, providing:

- Learner's name and registration details
- Current qualification code and title
- New qualification code and title
- Reason for transfer
- Any units or credits to be carried forward

7.2 Withdrawals

When a learner withdraws from a programme, the Course Leader must notify the Exams Officer in writing within 5 working days. The Exams Officer will update the awarding

organisation and ILR records accordingly. Where a learner has achieved partial certification, unit certificates may still be claimed.

8. Assessment Entries

8.1 Internal Assessment

Following completion of internal assessment, Course Leaders will submit outcomes to the Exams Officer via the progress spreadsheet. All internal assessment outcomes must be internally quality assured before submission for certification.

8.2 External Assessment

For qualifications requiring external assessment (online examinations, external practical assessments, etc.), the Exams Officer will enter learners in accordance with awarding organisation deadlines. External assessment outcomes will be recorded on the course progress records. The Head of Curriculum will verify the accuracy of all entries.

8.3 Entry Deadlines

The Exams Officer maintains a calendar of awarding organisation assessment windows and entry deadlines. Course Leaders will be notified of relevant deadlines at least 4 weeks in advance. Late entries may incur additional fees and cannot be guaranteed.

9. Certification Claims

9.1 Full Qualification Certification

Certification claims will normally be made upon completion of the full qualification. The process is as follows:

1. Tutors and Course Leader complete the progress spreadsheet with all unit achievements, grades, and marks.
2. Head of Curriculum verifies accuracy and authorises by signing the spreadsheet.
3. Authorised spreadsheet is submitted to the Exams Officer.
4. Exams Officer processes the certification claim within awarding organisation deadlines.
5. Confirmation of claim submission is recorded and retained.

9.2 Unit Certification

Where learners require certification for individual units, the same authorisation process applies. Course Leaders must complete the progress spreadsheet with details of completed units and obtain Head of Curriculum verification before submission.

10. Certificate Management

10.1 Receipt and Storage

All certificates are requested to be delivered to HTC for the attention of the Head of Quality. Upon receipt:

- Certificates are checked against the certification claim for accuracy
- A photocopy is made and filed with the original certificate
- Certificates are filed alphabetically by awarding organisation
- Certificate files are stored in locked cupboards in the staff resource room

10.2 Certificate Collection

The Exams Officer will notify learners when certificates are ready for collection. Learners collecting certificates must:

- Present valid photographic identification
- Sign and date the copy certificate as confirmation of receipt

10.3 Collection by Representative

Where a learner is unable to collect in person, they may nominate a representative who must present:

- A signed letter of authorisation from the learner
- A copy of the learner's identification
- Their own identification

10.4 Postal Delivery

In exceptional circumstances, certificates may be posted by recorded delivery. A copy of the postal receipt will be retained. HTC cannot accept responsibility for certificates lost in transit once proof of posting has been obtained.

11. Record Retention

All registration and certification records will be retained securely for a minimum of three years following certification, or in accordance with specific awarding organisation requirements. Records include:

- Registration confirmations
- Progress spreadsheets with authorisation
- Certification claim confirmations
- Copy certificates with collection signatures
- Transfer and withdrawal notifications

12. Quality Assurance

The Head of Quality will conduct quarterly audits of registration and certification processes to ensure compliance. Audits will include:

- Sample checking of registrations against awarding organisation records
- Review of certification claim accuracy
- Verification of progress spreadsheet authorisation
- Certificate storage and collection procedures
- Timeliness of registration and certification activities

13. Monitoring and Review

This policy will be reviewed annually and updated to reflect changes in awarding organisation requirements, regulatory guidance, or organisational practice. All staff involved in registration and certification will be notified of any changes.

14. Related Documents

- City & Guilds Centre Manual
- Pearson Entries and Information Manual
- HTC Assessment Policy
- HTC Internal Quality Assurance Policy
- HTC Malpractice and Maladministration Policy
- HTC Appeals Policy
- HTC Data Protection Policy

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Group CEO

Date: _____