Registration and Certification Policy

POLICY / PROCEDURE TITLE		DATE OF APPROVAL
Registration and Certification Policy		September 2025
APPROVED BY	**VERSION NO.**	**VALID UNTIL**
Executive Board	1	September 2028

OWNER	Assistant Director of Quality
GROUP EXECUTIVE LEAD	Executive Director of Quality
DOCUMENT TYPE	Policy ☒　　　Group Procedure ☐　　　Local Procedure ☐
PURPOSE	The policy defines the responsibility and requirements of the Centre's (Colleges) with learner registrations and certifications.
APPLICABLE TO	All NCG employees, as well as consultants, vendors, agency workers, contractors, service users, trainees/students, volunteers and/or any other parties who have a business relationship with NCG.
EQUALITY ANALYSIS COMPLETED [POLICIES ONLY]	Yes ☒　　　　　No ☐　　　　　N/A ☐
	(If EA not applicable, please explain)
KEY THINGS TO KNOW ABOUT THIS POLICY	The policy details the requirements for learner registrations and certification, including late registration and late certification. This will enable NCG to effectively comply with the requirements of awarding organisations.
EXPECTED OUTCOME	Readers are expected to understand the organisational position on the registering learners for their qualification and the processes through to claiming achievement and certification.

MISCELLANEOUS	
LINKED DOCUMENTS	• NCG Strategy Towards 2030 • NCG Quality Plan 2023-26 • NCG Equality, Diversity, Inclusion and Belonging (EBID) Policy • NCG Malpractice Policy • NCG Code of Conduct Policy • NCG Performance Policy • NCG Assessment and Internal Quality Assurance Policy • NCG Careers Education, Information Advice and Guidance Framework
KEYWORDS	• Registration

	• Certification
	• Awarding organisation

Equality Impact Assessment

EQUALITY IMPACT ASSESSMENT			
	Yes	**No**	**Explanatory Note if required**
EIA 1 - Does the proposed policy/procedure align with the intention of the NCG Mission and EDIB Intent Statement in Section 2?	☒	☐	The answer to this must be YES
EIA 2 - Does the proposed policy/procedure in any way impact unfairly on any protected characteristics below?	☐	☒	
Age	☐	☒	The answer to this must be NO
Disability / Difficulty	☐	☒	The answer to this must be NO
Gender Reassignment	☐	☒	The answer to this must be NO
Marriage and Civil Partnership	☐	☐	The answer to this must be NO
Race	☐	☒	The answer to this must be NO
Religion or Belief	☐	☒	The answer to this must be NO
Sex	☐	☒	The answer to this must be NO
Sexual Orientation	☐	☒	The answer to this must be NO
EIA3 - Does the proposed policy/processes contain any language/terms/references/ phrasing that could cause offence to any specific groups of people or individuals?	☐	☒	The answer to this must be NO
EIA4 - Does the policy/process discriminate or victimise any groups or individuals?	☐	☒	The answer to this must be NO
EIA 5 - Does this policy/process positively discriminate against any group of people, or individuals?	☐	☒	The answer to this must be NO
EIA 5 - Does this policy/process include any positive action to support underrepresented groups of people, or individuals?	☐	☒	The answer to this could be yes or no as positive action is lawful. However, an explanation must be provided for clarity.
EIA 6 - How do you know that the above is correct?	This policy has been reviewed by the QTLA forum, Policy Review Council, NCG Executive NCG, prior to approval by NCG Corporation. The membership of these groups is indicative of the wider population within NCG.		

1. GENERAL POLICY STATEMENT

This policy details stages that must be followed in registering learners to the appropriate qualification with the relevant awarding organisation and details the process followed prior to claiming completed units or, after the course planned end date of any full time or substantial part time FE (E&T and Apprenticeship) programme at NCG Colleges to accurately claim overall achievement for each learner or apprentice to close off the course.

It is a requirement that all FE provisions follow the registration and certification procedure. This procedure is applicable to all Full Time or substantial Part Time FE (E&T and Apprenticeship) courses in all curriculum areas across all College sites. It is the responsibility of the Head of Curriculum to ensure that this procedure is adhered to within their area of responsibility. The Head of Quality has a responsibility for monitoring non-conformances.

2. DEFINITIONS

- The term **learner/student** is used interchangeably to include in its widest sense all learners, whether young people aged 14-18, learners with specific high needs, care experienced learners, apprentices, adult learners or higher education students.

- **Programme Lead** – A teacher that has been assigned the responsibility of leading a programme

- **SLT** relates to the senior leadership team in the College – comprised of a Principal and their senior deputies.

- **Registration** is where learners are entered for a qualification so that they can be assessed as part of that qualification.

- **Late registration** is when learners are not entered for a qualification in a timely manner.

- **Certification** is where certificates are claimed in recognition of a learner's full or partial achievement of a qualification at the point of exit.

- **Late certification** is where certificates are claimed for a qualification which has expired

- **Unit completion** is defined as when all assessment requirements have been fulfilled and sufficient IQA completed following the college procedure

- **IQA –** Internal Quality Assurer, a person/s that quality assures the assessment process for a unit or course

- **EQA –** External Quality Assurer, a member or an associate of an Awarding organisation who will sample completed work (assessment and internal IQA activity) for compliance

3. IMPLEMENTATION AND COMPLIANCE

This policy is reviewed and agreed in line with the policy cycle and must be implemented in full through college quality procedures.

The policy will be reviewed by QTLA forum and approved by the Policy Council and Executive Board.

The policy applies to all teachers and educators in NCG – without such policy, college leaders cannot carry out their duty to ensure learners are registered in accordance with awarding organisation guidelines and learners are certificated where they have met the qualification requirements. It is the responsibility of college Senior Leadership Team (SLT) to share the policy and local procedures through, for example quality forums, guidance for teachers or any other relevant communication channels.

4. LEARNER REGISTRATION

The following sets out the requirements for registrations and certification claiming for learners, including late registration and late certification. This will enable NCG to comply with the registration requirements of external awarding organisations and prevent inaccurate or false registrations, external assessment entries, or certification claims.

4.1 Registration Deadlines:

- All learner registrations will be processed in line with awarding organisations published deadlines or recommendations, typically no later than 42 calendar days from the date the learner begins the course. Any registrations processed outside of these timeframes may incur late fees.
- Any Recognition of Prior Learning (RPL) or credit transfer requests must be submitted in line with the awarding organisation policies and procedures.
- It must be noted that learners cannot be assessed until they have been registered.
- Failure to register learners as indicated, will result in delays in being able to claim achievement and issuing achievement certificates

4.2 Registration process:

- Exams Team will review all courses available for enrolments and attach the appropriate Exams Base data to each course module linking with the appropriate exam's module in UNIT-e. This stage is repeated regularly and courses without exams links can be identified on ad-hoc basis during later stages of registration process.
- Exams Team will identify correct registration qualification codes and/or pathways during the initial stages of setting up course modules before learner registrations are processed.
- Exams Team will liaise with Quality or Curriculum staff in cases of approval or pathways queries to ensure the correct registration qualification codes are selected.
- Learners and apprentices must be enrolled to the correct qualification on the college MIS (UNIT-e) on or before the start of the course. Each enrolment must accurately reflect learning activities (Learning Aims) and the course start and planned end dates.
- Exams Team will identify new registrations through an exception report – Enrolled Not Registered (ENR). The report is produced weekly highlighting learners with current enrolments without corresponding exam entry links – indicating they are not yet registered with awarding organisations.

- Where there are multiple pathways attached to a learning aim the Exams Team will contact the Curriculum Leader for clarification before processing registration with an awarding organisation, unless the relevant pathway has been identified for the entire cohort of learners in the previous stage of the process.

- Processed registrations can be viewed by college staff via the specific awarding organisation website. Access must be requested and approved through the Exams Team. Following the registration, it is the responsibility of the programme lead and/or teacher that leads the programme to check the appropriate portal to ensure registration accuracy.

- Any required changes to student registration must be reported to the Exams Team by Curriculum Leaders via an email containing:
    o Learner ID number
    o Leaner Name
    o Date of Birth
    o Action required – if it is a change of awarding organisation qualification pathway then it must clearly state the current code and the code they need to be transferred to.

- Withdrawn enrolments will be processed with the awarding bodies by the Exams team in line with the appropriate deadlines and process.

5. INTERNAL QUALITY ASSURANCE

The IQA strategy must ensure appropriate staff resources are available for timely IQA of final learner work following programme and unit completion. Appropriate internal quality assurance checks must be undertaken within 2 weeks of course or unit completion for short courses (in line with course IQA strategy and awarding body requirements), or in line with the college deadline for end of year achievement shared in the Quality Calendar. Any identified actions relating to learner work must be closed off prior to achievement boards taking place.

6. ACHIEVEMENT BOARD

Achievement boards must be scheduled in advance and held within the college deadlines which are published in the Quality calendar. Quality will set dates for

those curriculum areas deemed 'at risk'. Quality Improvement Managers should be invited to all achievement boards, and they will endeavour to attend as many as possible, prioritising those programmes deemed to be at risk. The board will be attended by the programme lead and/or teacher(s) with responsibility for leading the programme, Head of Curriculum/Faculty. During the achievement board, completion of key activities must be confirmed:

- Internal Quality Assurance records are complete, up to date and all actions have been signed off.
- An Equality Quality Assurance / Standards Verification (if applicable) visit has taken place with no immediate actions impacting achievement.
- Awarding body certification claims form should be completed in line with awarding body guidance, cross referenced with eTrackr/Course tracking and signed off by the Lead IQA and Programme Lead (PL) as appropriate.
- Achievement must be sent to exams following the process outlined in Appendix 1 at the end of the meeting.
- Achievement board record must be completed during the meeting to record a summary of outcomes and actions and saved in the appropriate quality and curriculum areas.

Following the achievement board, the Chair is responsible for ensuring that documentation is processed through the Exams team. In the event of exams team raising a query, this must be investigated and resolved within 5 working days.

7. OUTSTANDING ACHIEVEMENT

It is expected that all learners will complete a programme on schedule. In the event of learners having outstanding work, the board must go ahead as planned. Outstanding learners must be noted during the board and action plans put in place, where appropriate, to complete the work. It is the responsibility of the Head of Quality to ensure the remaining achievement claims and outstanding actions are completed and the relevant documentation is updated.

Exams Manager will produce and share Outstanding Achievement reports as per the agreed schedule – published on the Quality calendar. The data on these reports will indicate any outstanding enrolments with planned end dates in the past, learning outcomes not yet recorded and/or where outcomes are pending with claims submitted to Awarding Organisations but not yet confirmed.

8. CERTIFICATION

The Programme Leader/Teacher with responsibility for leading the programme has responsibility for ensuring that all elements of the programme or unit are completed, including comprehensive tracking, sufficient IQA and evidence of all assessed learner work via electronic or paper-based portfolio, is complete in preparation for claiming and certification. The Programme Leader/Lead IQA has responsibility for ensuring that all courses or significant unit completions where appropriate have complete and accurate records, this includes appropriate tracking, completed IQA documentation and awarding body claims forms.

All certificates must be claimed from the awarding organisations, typically no later than four weeks after the end date of the course. Mistakes on certificates must be reported to awarding organisation no later than four weeks after receipt with the certificate(s) also returned. Where the mistake is not due to an error on the part of the AO, the AO may charge a fee will be charged for the certificate to be re-issued.

8.1. Late Certification

Where a certificate has not been claimed for a learner before the certification end date for the qualification, the college must follow the AO guidelines to request a late certificate, together with the extenuating circumstances.

9. STATEMENT ON IMPLEMENTATION

Upon approval, this policy will be uploaded to the policy portal and communicated to staff via The Business Round-Up and via the NCG intranet.

10. STATEMENT ON EQUALITY AND DIVERSITY

NCG is committed to providing equality of opportunity. Further details or our aims and objectives are outlined in our [Equality Diversity Inclusion and Belonging Strategy](#).

This policy has been assessed to identify any potential for adverse or positive impact on specific groups of people protected by the Equality Act 2010 and does not discriminate either directly or indirectly. In applying this policy, we have considered eliminating unlawful discrimination, promoting equality of opportunity and promoting good relations between people from diverse groups.

11. STATEMENT ON CONSULTATION

This policy has been reviewed in consultation with QTLA forum, trade unions, Policy Review Council, NCG Executive Team prior to approval to Corporation Board.

VERSION CONTROL			
Version No.	**Description of Change and Rationale**	**Author/Reviewer**	**Date Revised**
1	New Policy	Asst. Director of Quality	Aug 2025

Appendix 1 - Submitting Claim Forms (Flowchart)

Blank Claim Forms

After learners are registered with Awarding Organisations **Exams staff** save claim forms into 'Blank' folder

Completed Claim Forms

Teaching staff complete claim forms with correct grades and move them to 'Completed by Tutor' folder

New Claim Forms

If learners remain unclaimed in a cohort **Exams staff** download a new claim form and save it to 'Blank' folder, process begins again

Quality Assured Claim Forms

Lead IQAs check forms and following the assessment board move claim forms to 'Completed by LIQA' folder

Processed Claim Forms

When processed by Awarding Organisations **Exams staff** move claims to 'Fully Processed' folder

Pending Claim Forms

Exams staff attempt to make claims with AOs and move forms to 'Checks' or 'Queries' folder

Checks or Queries

Claims are checked for accuracy by **Exams staff** or passed over to **Quality Department** as queries