OCR CRITERIA FOR VERIFIED QUALIFICATIONS
(Revised August 2021)

Valid from 1 September 2021

Introduction

In 2010 the OCR Criteria for Verified Qualifications (NQF and QCF) replaced the NVQ Code of Practice for all OCR verified qualifications. This document is a new updated version of the OCR Criteria for Verified Qualifications which replaces the version dated 2014. The criteria themselves have not been changed but we have included more guidance for centres and EQAs about evidence, possible issues that indicate non-compliance and the level of sanction to be imposed when non-compliance is identified.

The revised OCR Criteria for Verified Qualifications incorporates the requirements placed on OCR by the various Regulatory Authorities through the General Conditions of Recognition and other regulatory requirements. OCR is responsible for ensuring that the management, administration, assessment and quality assurance of the verified qualifications it is recognised to deliver, are consistent with the regulations set out in Ofqual's Regulated Qualifications Framework and the General Conditions of Recognition.

The purpose of these criteria and the OCR Terms of Business are to promote quality, consistency, accuracy and fairness in the assessment and awarding of verified qualifications.

It is a centre's responsibility to establish and maintain reliable, auditable systems for recording learner information, assessment decisions and quality assurance processes. Centres are responsible for implementing the requirements as set out in these criteria.

These criteria should be used for the delivery of OCR verified qualifications in conjunction with the OCR Terms of Business, the relevant OCR Centre Handbooks/Specifications and administration guidance available on the OCR website.

For the purposes of this document the term "learner" refers to a person registered with OCR for an OCR qualification by a centre approved to deliver that qualification.

Section 1
Changes made to this section since the 2010 edition are highlighted throughout the document.

Quality Assurance Visit - sets out the criteria against which the Quality Assurance Visits (QAV) and the resulting Quality Assurance Reports (QAR) are completed by OCR's External Quality Assurer (EQA). This is to review centres' continued compliance in their delivery of verified qualifications.

OCR review of a centre's DCS claims made between EQA visits - An additional section has been added to IV6 to include sanctions imposed due to issues identified during an OCR review of a centre's DCS claims made between EQA visits.

Section 2
Sanctions - sets out the table of sanctions which OCR and OCR EQAs will use to report on centre compliance. Any required actions which need to be addressed by the centre staff will result in a recommendation of the relevant sanction.

SECTION 1 QUALITY ASSURANCE VISIT (QAV)

Every centre which has been approved to deliver OCR verified qualification(s), and has active learners entered/registered with OCR, will be allocated an OCR External Quality Assurer (previously known as an external verifier). This OCR External Quality Assurer (EQA) will arrange to undertake at least two Quality Assurance visits to the centre each year between 1 September to 31 August – please note no Quality Assurance (QA) visits can take place in the last two weeks in August. The timing of these visits will be agreed and arranged with the centre when they first register learners and at each subsequent EQA visit. Centres can request additional EQA visits if required, although an additional fee is payable for these.

During a QA visit OCR's EQA will review the centre's compliance with these criteria and provide the centre with actions and/or recommendations to improve their delivery of the qualification(s). If OCR's EQA cannot agree that the centre meets a particular criterion the appropriate sanction on the centre will be recommended. A copy of the QA report will be made available to the centre within 5 working days following the QA visit.

OCR will review sanctions (level 2 or above) recommended by the EQA. For any sanction at level 2 or above OCR will confirm the sanction imposed to the Head of Centre in a letter. At the next QA visit OCR's EQA will review the actions provided to the centre at the previous visit. They will recommend the increase, retention, reduction or removal of the sanction as appropriate. OCR will review the recommendation and notify the Head of Centre in writing of any retention or change in sanction.

If non-compliance with the criteria is identified between QA visits or OCR is unable to undertake the required EQA visit(s) to establish the centre's compliance with the criteria, OCR will impose the appropriate sanction on the centre. The sanction and any action required by the centre will be notified in writing to the Head of Centre.

If the Head of Centre does not agree with the sanction imposed on their centre they can request it is reviewed. Details of how to do this will be included in the letter from OCR confirming the sanction. Information about appeals against sanctions and assessment decisions for verified qualifications is also available on OCR's website: https://www.ocr.org.uk/administration/other-vocational-qualifications/post-results/appeals/.

Centres should refer to the centre handbook for each specific qualification. These are available on the OCR website as is guidance regarding the administration of verified qualifications https://www.ocr.org.uk/administration/other-vocational-qualifications/assessment/verified-qualifications/ .

Centres with DCS – see the section added at IV6 in respect of issues identified during the additional quality checks on DCS claims.

SECTION 1 QUALITY ASSURANCE VISIT (QAV)

Resource Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
R0 (Links to A4 and A5)	**There are sufficient competent and qualified assessors and internal quality assurance personnel.**	Assessors' and IQAs' original assessment certificates or OCR approved and signed copies **must be seen** at first QA visit and at subsequent visits for all new members of assessment team. For unqualified assessors/IQAs evidence **must be seen** to show that they are working towards an appropriate assessment/quality assurance qualification. CVs and CPD records/development plans for the assessors and IQAs, including occupational background, experience and relevant qualifications. Where it is a requirement of the qualification for an assessor/IQA to have relevant current industry experience and competence at or above the qualification level this **must be evidenced** eg: through CVs, certificate(s) of achievement of relevant qualifications, membership of a relevant professional body. Interviews with assessment team (by phone or face to face). Assessor/learner ratios and IQA/assessor ratios. Monitoring (e.g. countersigning) arrangements/activities for any assessment decisions/quality assurance made by unqualified assessors and unqualified IQAs.	Appointed member(s) of the assessment team is/are unable to provide original or OCR approved and signed copies of qualification certificates or evidence they are working towards an appropriate qualification, and/or do not have the required occupational competency (as appropriate to the qualification): • but **have not** undertaken any assessment/IQA activities. • and **have** undertaken assessment activities that **have not** been monitored (e.g. countersigned) by qualified assessors/IQAs. There are insufficient qualified and/or occupationally competent assessors. Assessor/learner ratio does not allow for regular contact or sufficient formative/summative assessment. There are insufficient qualified and/or occupationally competent IQAs to manage assessment. Any of the above have contributed to assessment not meeting the required standards and/or certification claims being made before the qualification requirements have been met.	Level 1 Level 3b Level 2 Level 3b Level 3b

Resource Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
R1	**Staff development is provided for assessors and internal quality assurance personnel in line with identified needs.**	Staff induction and guidance materials. Records of meetings/briefings/updates. Records of individual development plans. Audit of skills/knowledge against assessment requirements. Action plans to acquire relevant qualifications. CPD records. Additional training/development identified during assessment process.	Assessors/internal quality assurance personnel do not have adequate development in line with identified needs.	Level 1
R2	**Resources are made available in line with identified needs required for qualification achievement.**	Assessor/learner/internal quality assurance personnel feedback. Resources available in the centre and/or online.	Assessor, learner and internal quality assurance personnel feedback does not confirm sufficiency of resources.	Level 1
R3	**Equipment and accommodation used for the purposes of assessment comply with the requirements of relevant health and safety acts.**	Public employee liability certificates. Records of equipment and accommodation. Maintenance and equipment test schedules. Health and safety policies.	Equipment and accommodation do not comply with health and safety acts. Staff/learners/EQA raise issues that identify concerns about health and safety in the centre. Centre do not have health and safety policies.	Level 1 Level 1 Level 1

Learner Support Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
CS0	**Information, advice and guidance about the qualification and assessment, including the appeals procedure, are provided to learners.**	Learner guidance and induction materials which include details of: • learner support available; • centre's internal appeals and complaints procedures; • information about the qualification and assessment methods available; • information about learner entry with OCR, ie: OCR learner (candidate) number; • information about available achievement/certification by OCR, ie: unit/full award; • their nominated assessor and how to contact them. Learner feedback from EQA interviews (by phone or face to face), complaints submitted to OCR. Records of learners' complaints/ appeals.	Information, advice and guidance have not been provided to learners and consequently learners are not aware of their rights and responsibilities. Learner feedback indicates that the lack of information, advice and guidance about the assessment process has disadvantaged them. The centre's guidance and/or induction materials are not sufficient. The centre's internal appeals and/or complaints procedure are not sufficient. The centre do not have induction materials, internal appeals and/or complaints procedures. Learners complaints/appeals are not responded to/dealt with in accordance with the centre's policies.	Level 1 Level 2 Level 2 Level 2 Level 3b Level 3b

Learner Support Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
CS1	**Learner's development needs are matched against the requirements of the qualification and assessment planning is regularly reviewed with the learner.**	Evidence of learners' initial assessments, results of diagnostic testing, learning styles questionnaire. Learner assessment planning, including frequency of review meetings. Examples of revisions to assessment plans. Learner contracts/agreements/reviews. Learner feedback from EQA interviews (by phone or face to face).	The centre has not carried out regular reviews of assessment planning with the learner. Learners' development needs are not matched to the qualification requirements and consequently they are disadvantaged. Learner is not in an appropriate position (eg: job role) to enable them to generate the evidence required. The centre has not carried out an initial assessment of learner(s).	Level 1 Level 2 Level 3b Level 3b
CS2	**Access to assessment is encouraged through the use of a range of valid assessment methods[1] and particular assessment requirements of learners are identified and met where possible.** **(In line with the Equality Act.)** [1] Refer to relevant Centre Handbook/Qualification Specification	Assessment plans and learner assessment records. Materials/equipment/facilities to support learners with particular requirements. Records/log of special requirements and access arrangement requests. Learner feedback from EQA interviews (by phone or face to face).	The range of assessment methods used by the centre is insufficient to enable access to assessment appropriate for the qualification and/or the learners. Learners' particular assessment requirements are not identified and/or not taken into consideration. There is a lack of, or there are insufficient, materials/equipment/facilities to support learners with particular requirements. Assessment methods used are not valid and/or sufficient and consequently assessment does not meet the required standards and/or certification claims have been made before the qualification requirements have been met.	Level 2 Level 2 Level 2 Level 3b

Learner Support Review

OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
CS3	**Unit certification is made available to learners.**	Learners' portfolios/submission of evidence for assessment. Assessment records. Records of units claimed/awarded. Learner guidance and induction materials.	There is no evidence that learners are made aware that unit certification is available. The centre has not claimed unit certification when requested and/or this has disadvantaged the learner. Eg: a learner has completed units but is not completing the full qualification.	Level 1 Level 1

Assessment Review

OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
A0	**Internal quality assurance procedures are documented and meet OCR's requirements[1].** [1] Refer to relevant Centre Handbook/Qualification Specification	Internal quality assurance procedure(s) which include requirements for sampling, monitoring and standardisation of assessment activities across all assessment sites (where applicable). Process for ensuring IQAs/assessors are competent in their role. Process for inducting, training and supporting assessors.	A documented IQA procedure is not available or is insufficient and does not meet OCR's requirements.	Level 2

Assessment Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
A1	**Assessment decisions are adequately sampled to ensure the required standards are met.**	Sampled assessments (observations, learner portfolios, knowledge evidence, etc). A sampling plan and schedule of activity. Records of sampling. Records of appropriate feedback to assessors. Records of induction and training for new and existing assessors. Records of relevant assessor and IQA team meetings. Records of standardisation activities to ensure consistency of assessment decisions.	Sampling of assessment decisions is inadequate. Records are insufficient to allow audit of assessment. Standardisation activities are not sufficient to ensure consistency of assessment decisions. Assessment decisions are unfair (i.e. assessor/assessment practice prevents learners achieving). Any of the above have contributed to the assessment not meeting the required standards and/or certification claims being made before the qualification requirements have been met.	Level 2 Level 2 Level 2 Level 3a Level 3b
A2	**Records of internal quality assurance activities meet OCR's requirements and ensure valid, reliable and consistent assessment.**	Internal quality assurance plan and sampling records. Records of appropriate feedback to assessors. Records of relevant assessor and IQA team meetings. Records of standardisation activities to ensure consistency of assessment decisions. Records of induction and training for new and existing IQAs.	Records are insufficient to allow an audit of assessment. The internal quality assurance process has not: • identified serious anomalies in the assessment process and/or assessment of learners' work; • provided appropriate feedback to enable issues with assessment to be rectified.	Level 2 Level 3b Level 3b

Assessment Review

OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
A3	**The internal quality assurance process is reviewed against OCR's requirements[1] for internal quality assurance and improvements are implemented accordingly.** [1] Refer to the relevant Centre Handbook/Qualification Specification	Documented outcomes from Internal reviews of the internal quality assurance process/sampling plans. External Quality Assurance (EQA) reports. Evidence that improvements have been implemented.	There is inadequate review of internal quality assurance procedures.	Level 1
A4 (links to R0)	**Assessment is conducted by appropriately qualified and occupationally expert assessors.**	Assessors' original assessment certificates or OCR approved and signed copies **must be seen** at first QA visit and at subsequent visits for all new members of assessment team. For unqualified assessors evidence **must be seen** to show that they are working towards an appropriate assessment qualification. CVs and CPD records/development plans for the assessors, including occupational background, experience and relevant qualifications. Where it is a requirement of the qualification for an assessor to have relevant current industry experience and competence at or above the qualification level this **must be evidenced** eg: through CVs, certificate(s) of achievement of relevant qualifications, membership of a relevant professional body.	Active member(s) of the assessment team is/are unable to provide original or OCR approved and signed copies of qualification certificates or evidence they are working towards an appropriate qualification, and/or do not have the required occupational competency (as appropriate to the qualification): • but **have not** undertaken any assessment activities. • and **have** undertaken assessment activities that **have not** been monitored (e.g. countersigned) by qualified assessors. There are insufficient qualified and/or occupationally competent assessors Any of the above have contributed to the assessment not meeting the required standards and/or certification claims being made before the qualification requirements have been met.	Level 1 Level 3b Level 2 Level 3b

Assessment Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
		Interviews with assessment team (by phone or face to face). Monitoring (e.g. countersigning) arrangements for any assessment decisions made by unqualified assessors.		
A5 (links to R0)	**Internal quality assurance is conducted by appropriately qualified and experienced staff.**	IQAs' original assessment certificates or OCR approved and signed copies **must be seen** at first QA visit and at subsequent visits for all new members of assessment team. For unqualified IQAs evidence **must be seen** to show that they are working towards an appropriate assessment qualification. CVs and CPD records/development plans for the assessors, including occupational background, experience and relevant qualifications. Where it is a requirement of the qualification for an IQA to have: a specific qualification and/or relevant current industry experience and competence at or above the qualification level this **must be evidenced** eg: through CVs, certificate(s) of achievement of relevant qualifications, membership of a relevant professional body. Interviews with assessment team (by phone or face to face).	Active member(s) of the assessment team is/are unable to provide original or OCR approved and signed copies of qualification certificates or evidence they are working towards an appropriate qualification, and/or do not have the required occupational competency (as appropriate to the qualification): • but **have not** undertaken any IQA activities. • and **have** undertaken IQA activities that **have not** been monitored (e.g. countersigned) by qualified IQAs. There are insufficient qualified and/or occupationally competent IQAs Any of the above have contributed to the assessment not meeting the required standards and/or certification claims being made before the qualification requirements have been met.	Level 1 Level 3b Level 3b Level 3b

Assessment Review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
		Monitoring (e.g. countersigning) arrangements for any quality assurance undertaken by unqualified IQAs.		
A6	**Actions identified during external verification visits are disseminated to appropriate staff and implemented accordingly.**	Quality Assurance Reports are circulated to the Assessors, IQAs and Senior Management and actions implemented. Action plans. Evidence that improvements have been implemented. Interviews with assessment team (by phone or face to face).	Previously agreed actions identified during Quality Assurance visits have not been addressed relating to: • a level 1 sanction • a level 2 sanction • a level 3a sanction • a level 3b sanction *EQA must contact OCR (Compliance team) before imposing a Level 4 sanction.	Level 2 Level 3a/b Level 3b/4* Level 4*

Internal quality assurance review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
IV0 (links to IV1 and IV2)	**The centre's policies in relation to OCR's verified qualifications are supported by senior management and understood by the assessor and internal quality assurance personnel team.**	Documented policies and procedures. Interviews with assessment and management teams (by phone or face to face). Progress reports and staff updates. Organisation development plans.	Documentation for the centre's policies is not available or is insufficient. Feedback from assessment and/or management teams demonstrates a lack of understanding of the centre's policies and team/personal responsibilities.	Level 1 Level 1

Internal quality assurance review

OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
IV1 (links to IV0, IV2 and IV8)	**The centre's policies, including access and fair assessment policy and practice, are complied with**	Documented policies and procedures which reference Special Consideration/Reasonable Adjustments (e.g. Access and Fair Assessment Policy, Appeals Procedure, Equal Opportunities Policy, Health and Safety Policy, Staff Development Policy, Quality Assurance Policy). Interviews with Assessors, IQAs, learners and management team (by phone or face to face). Records of learners' complaints/ appeals. Evaluation and review mechanisms. Evidence of Equal Opportunities monitoring.	Feedback from assessment and/or management teams demonstrates a lack of understanding of the centre's policies and team/personal responsibilities. Assessment decisions are unfair (i.e. assessor/assessment practice prevents learners achieving). Learners' achievements cannot be or are not monitored and reviewed in relation to diversity and equality. Learners complaints/appeals are not responded to/dealt with in accordance with the centre's policies.	Level 1 Level 3a Level 3b Level 3b
IV2 (links to IV0 and IV1)	**The roles and responsibilities of the assessors and internal quality assurance personnel across all assessment sites are defined and understood.**	Documented quality assurance procedures. An organisational chart. Records of all assessment sites and personnel. Job descriptions of the assessment team. Minutes of assessment team/standardisation meetings. Interviews with Assessors and IQAs (by phone or face to face).	Responsibilities of personnel across all assessment sites are not clear or well understood by management, assessors and/or internal quality assurance personnel.	Level 1

Internal quality assurance review				
OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
IV3	There is effective communication within the centre's assessment team and with OCR.	Staff handbooks, updates and details of organisation review/developments. Minutes of assessment team/standardisation meetings. Interviews with Assessors and IQAs (by phone or face to face). Interviews with management team. Records of communication with the EQA/OCR.	Communication within the assessment team is not effective. Communication with OCR is not effective.	Level 1 Level 1
IV4	OCR is notified of any changes that may affect the centre's ability to meet OCR's requirements.	Records of communication with the EQA/OCR including: • notification of changes affecting the centre's ability to resource and deliver qualifications, particularly any changes to assessment team; • issues raised with OCR and resolutions.	OCR has not been notified of changes and/or issues that affect the centre's ability to meet OCR's requirements which has: • **not** affected the centre's delivery of the qualification(s); • disadvantaged learners; • **adversely** affected the centre's delivery of the qualification(s).	Level 2 Level 3a Level 3b

Internal quality assurance review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
IV5	**Assessors and IQAs have sufficient time, resources and authority to perform their roles and responsibilities effectively.**	Minutes of management and assessment team/standardisation meetings. Interviews with: • assessment team; • management team; • learners. Records of: • assessor/learner ratios and time allocation; • IQA/assessor ratios and time allocation.	Assessors and IQAs have insufficient time, resources and authority to perform their roles and responsibilities effectively which has: • **not** affected the centre's delivery of the qualification(s); • disadvantaged learners; • **adversely** affected the centre's delivery of the qualification(s).	Level 2 Level 3a Level 3b

Internal quality assurance review

OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
IV6	**Learner information and details of achievements are complete and accurate, and retained and transmitted in line with OCR's requirements.**	Learner list provided to the EQA before the centre visit. Records of learner enrolment, entry/registration details and certificate claims. Learner evidence files/portfolios and assessment records. Certification claims made by the centre via interchange including DCS claims made since the last EQA visit. Interviews with learners (by phone or face to face).	Centre learner records and/or learner list provided to EQA:	
			• have minor inaccuracies which do **not** affect centre monitoring of learners' progress or ability to claim for appropriate units/qualification;	Level 1
			• have **some** major inaccuracies which **do** affect centre monitoring of learners' progress or ability to claim for appropriate units/qualification;	Level 2
			• have **a number of** major inaccuracies which **do** affect centre monitoring of learners' progress or ability to claim for appropriate units/qualification;	Level 3b
			• do not include all learners certificated via DCS since the last EQA visit;	Level 3b
			• do not exist.	Level 3b
			Assessed evidence is not the authentic work of the learner(s).	Level 3b
			Certification claims are made before all the requirements of assessment are met.	Level 3b
			Records of assessment show serious anomalies.	Level 3b

OCR ref	OCR Criteria	Possible sources of evidence	OCR will disagree if …	Sanction imposed
IV6	DCS claims only Learner information and details of achievements are complete and accurate, and retained and transmitted in line with OCR's requirements.	Learner assessment and claims records showing details of learners and the units and/or full awards claimed for them via DCS since the last EQA visit. These records are requested and reviewed by OCR (**not the EQA)** as additional quality checks of DCS claims made by centres between EQA visits.	The centre's learner assessment and claims records: • have minor inaccuracies eg: candidate names, dates of birth, units claims do not match details on OCR's systems, but which do **not** affect centre monitoring of learners' progress or the validity of certificates issued; • show that, due to centre admin error, an incorrect claim has been made resulting in OCR issuing an invalid certificate; • are not provided to OCR within the timeframe required. Centre have made repeated admin errors resulting in OCR issuing invalid certificates.	Level 1 Level 1 Level 2 Level 2 or Level 3b

Internal quality assurance review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
IV7	**Queries about the qualification specification, assessment guidance or related OCR material are resolved.**	Records of communication with the EQA/OCR Issues raised with and/or by OCR and resolutions. Minutes of management and assessment team/standardisation meetings. Interviews with Assessors and IQAs (by phone or face to face). Interviews with management team.	Queries are not resolved. Assessment does not meet the required standards	Level 1 Level 3b
IV8 (links to IV1)	**Information and recording systems enable learners' achievements to be monitored and reviewed in relation to diversity and equality.**	Achievement records in relation to the Access and Fair Assessment Policy and Equal Opportunities Policy. Statistical information on achievement and certification rates analysed by factors such as ethnic origin, disability and gender. Records/logs of learner special requirements and access arrangements requests.	Learners' achievements cannot be or are not monitored and reviewed in relation to diversity and equality.	Level 3b

Internal quality assurance review

OCR ref	OCR criteria	Possible sources of evidence	The OCR External Quality Assurer will disagree if…	Sanction imposed
IV9	**Requests from OCR are complied with for access to premises, people and records for the purpose of monitoring activities.**	Data and information management systems. Learner tracking systems. Assessment and internal quality assurance records. Learner contact details. Learner/assessment team feedback from EQA interviews (by phone or face to face). Assessment records are retained for a minimum of 3 years. Planned Quality Assurance visit takes place. Those requested for interview were available. Learner portfolios requested were made available. Able to observe an assessment taking place.	Records are not retained for a minimum of 3 years. Learners' work is not available from the sample (of 3 or more) requested by the EQA but **can** be substituted: • 1 portfolio is unavailable • 2 portfolios are unavailable • 3 or more portfolios are unavailable. Learners' work is not available from the sample (of 3 or more) requested by the EQA and **cannot** be substituted: Where there are less than 3 portfolios and **any** of the portfolios are unavailable. **For DCS claims** – if any of the portfolios requested are unavailable (even if they can be substituted). Assessment records are: • incomplete but demonstrate summative assessment has taken place; • unavailable. The centre fails to provide access to requested records, information, centre assessment decisions and/or staff. This includes failing to arrange/agree a quality assurance visit date.	Level 1 Level 1 Level 2 Level 3b Level 3b Level 3b Level 3b Level 2 Level 3b Level 3b

Internal quality assurance review				
OCR ref	**OCR criteria**	**Possible sources of evidence**	**The OCR External Quality Assurer will disagree if…**	**Sanction imposed**
IV10	**Centre's achievements, and learner, employer and other feedback are used to evaluate the quality and effectiveness of qualification provision.**	Internal audit/self-assessment arrangements. Audit/self-assessment reports. Evidence that improvements have been implemented. Evaluation forms/surveys. Users' charter/customer service statements. Learner, employer and other feedback. Centre's achievement records.	There is inadequate evaluation of the quality and effectiveness of qualification provision.	Level 1

SECTION 2 -SANCTIONS

This table lists the sanctions imposed on centres when they do not meet the OCR Criteria for Verified Qualifications. These will usually be recommended by an OCR EQA during a quality assurance visit. However, OCR may impose these sanctions on a centre if non-compliance with the criteria is identified between quality assurance visits.

If the Head of Centre does not agree with the sanction imposed on their centre they can request it is reviewed. Details of how to do this will be included in the letter from OCR confirming the sanction (for level 2 sanctions and above). Information about appeals against sanctions and assessment decisions for verified qualifications is also available on OCR's website: https://www.ocr.org.uk/administration/other-vocational-qualifications/post-results/appeals/

Serious and/or repeated instances of non-compliance may be referred to OCR's Compliance Team for investigation as suspected malpractice and, if appropriate, sanctions and/or penalties imposed on the centre and/or individuals in accordance with the JCQ policies and procedures outlined in the JCQ Suspected Malpractice in Examinations and Assessments document available on the JCQ website.

Sanction level	Sanction imposed	Rationale
1	An action for the centre is recorded on the QA report.	Non-compliance with OCR criteria for verified qualifications but no threat to the integrity of the centre's assessment decisions.
2	Removal of direct claims status (DCS). This sanction is applied even if a centre does not have DCS.	Closer scrutiny of the integrity of the centre's assessment decisions is required.
3	**3a** - Suspension of the centre's ability to register/enter learners for affected OCR qualifications. (DCS is also withdrawn where applicable). **3b** - Suspension of centre's ability to both register/enter learners and claim certification for affected OCR qualifications. (DCS is also withdrawn where applicable).	**3a** – issues identified could result in learners being disadvantaged. **3b** – OCR is unable to undertake appropriate quality assurance reviews of a centre's delivery of their qualification, has lost confidence in the integrity of the centre's assessment decision and/or there is a risk that invalid claims for certification could be or have been made.
4	Withdrawal of centre approval of **specific** OCR qualification(s).	There has been a breakdown in centre management and/or quality assurance of specific OCR qualification(s).
5	Withdrawal of centre approval for **all** OCR qualifications.	There has been an irretrievable breakdown in centre management and/or quality assurance of all OCR qualifications.

SECTION 2 SANCTIONS – Continued

OCR will apply the Level 4 and Level 5 sanctions on centres if non-compliance and/or malpractice/maladministration issues are identified leading to an irretrievable breakdown in management and quality assurance of specific OCR verified qualifications. These may include:

1. Significant faults in the management and quality assurance of the OCR verified qualification programme which result in an ongoing failure to meet the core requirements for the conduct of assessment.

2. Previously agreed corrective measures relating to a Level 3 sanction have not been implemented and/or resolved the issues.

3. Failure to notify, investigate and report malpractice (including allegations of suspected malpractice). The Head of Centre should refer to the JCQ Suspected Malpractice in Examinations and Assessments document available on the JCQ website for more information.

FURTHER INFORMATION

All queries about this document, quality assurance visits and/or sanctions should be directed through OCR's Customer Support Centre
Tel: 02476 851509, or email vocational.qualifications@ocr.org.uk.