



# **Learner Registration and Certification Policy**

April 2020

Policy authorised by Responsible Officer

## Table of Contents

|      |   |   |
|------|---|---|
| 1.0  | Introduction .....                                    | 3 |
| 2.0  | Scope of policy.....                                  | 3 |
| 3.0  | Initial Learner Registration .....                    | 3 |
| 4.0  | Claiming certification.....                           | 4 |
| 5.0  | Confirmation and Amendments of Results.....           | 4 |
| 6.0  | Replacement and Revocation of Certificates .....      | 4 |
| 7.0  | Fraudulent or Mistaken Claims for Certification ..... | 5 |
| 8.0  | OTHM Process for Minimizing and Managing Errors ..... | 5 |
| 9.0  | Notification of Results Period .....                  | 6 |
| 10.0 | Certificate Issue and Reissue Record Log.....         | 6 |
| 11.0 | Design of OTHM Certificates .....                     | 6 |
| 12.0 | Regulatory references.....                            | 6 |
| 13.0 | Policy review date.....                               | 7 |
| 14.0 | Useful contacts .....                                 | 7 |

## 1.0 Introduction

The key role of OTHM is to secure standards for those qualifications we certificate. As part of our commitment to quality assuring standards we aim to provide guidance and support to help Centres and their learners to achieve learning and development goals. We also ensure that any regulatory requirements are met, and in turn we support Centres to meet those requirements.

We review all our policies annually or in response to regulatory changes to ensure that they remain fit for purpose.

## 2.0 Scope of policy

This policy applies to all regulated qualifications offered by OTHM and related products and services.

## 3.0 Initial Learner Registration

All approved Centres must register all learners **within 28 working days** of commencing on an OTHM regulated qualification. Learner registration must be done using a prescribed Excel Sheet supplied by OTHM.

Centres must ensure that the form is completely fully indicating the following areas:

- i. Title
- ii. Gender
- iii. Learner's full name
- iv. Learner's Date of Birth
- v. Learner's permanent and current address where they are different
- vi. Learner's correspondence full address
- vii. Learner's email addresses
- viii. Learner's mobile number
- ix. Nationality and confirmation of learner's identity
- x. Qualification number learner is registered
- xi. ULN - Availability of the ULN allows OTHM to confirm previously achieved units and qualifications.

The full completion of learner registration is essential to verify the learner in the unlikely event of OTHM having to reissue or revoke a certificate.

Where appropriate, OTHM encourages every approved centre to arrange for access to the Learning Records Centre by following the link at:

<https://www.gov.uk/government/publications/lrs-unique-learner-numbers>

Following this step would allow the Centre to have access to Learner Achievement Records and ensure that:

- a) Each learner taking a qualification which it makes available is registered in a way that permits the learner to be clearly and uniquely identified, and
- b) Where the identity of a learner has not previously been confirmed to OTHM or the Centre at which the assessment will take place, arrangements are in place to confirm the learner's identity.

## 4.0 Claiming certification

- a) Learner(s) must be registered for a minimum of **10 weeks** on the qualification before a claim for certification can be claimed.
- b) Centres wishing to claim certificates must complete the OTHM grade sheet and submit this to OTHM.
- c) An External Quality Assurer (EQA) visit will be undertaken and the EQA report will confirm whether the learner(s) have met the standards.
- d) If the standards have been met, certificates will be issued for learners within 10 working days.

**N.B.** Centre's judgement on learners' work remain provisional until verified by an OTHM EQA.

## 5.0 Confirmation and Amendments of Results

The assigned OTHM EQA will review the assessment decisions submitted by the Centre in line with OTHM quality assurance procedures and qualification specifications. The EQA report will then be quality assured by the Head of Operations and Compliance prior to confirming the outcome.

### Processing of Results

- Upon successful verification of the results and approval of the EQA report, the Head of Operations and Compliance will approve the results, and these will be uploaded within QLMS. The system will then identify the qualifications where the learners have met the required units and credits.
- OTHM generate certificates of the highest qualification available in that rule of combination.
- All certificates are sent by recorded delivery to the Centre
- OTHM can issue unit certificates on request, however it is the policy of OTHM not generate unit certificates unless requested.

## 6.0 Replacement and Revocation of Certificates

### Replacement of Certificates

Requests for the replacement of certificates can come from learners or centres. OTHM provides on its website clear information on how this is achieved.

A form must be filled in which will be sent on request and must include proof of identification as noted in the replacement certificate guidance. The original information given at registration will also be used to verify that learners genuine identify.

Once learners and their achievement have been identified and confirmed, a replacement certificate can be generated for any qualifications the learner has been awarded. Replacement certificates are clearly identifiable from original.

## **Revocation of Certificates**

Where OTHM becomes aware that a learner's qualification is disputable as evidenced by the results of an investigation, we will take all reasonable action to revoke any certificate if the result on the certificate is deemed false because of malpractice, maladministration, or is revealed to be inaccurate because of an appeals process.

In taking steps to revoke a certificate, OTHM will make every effort to contact learner(s) informing them of the decision and will be informed to return the certificate within 21 days. Learners so affected will also be informed of the consequences of continuing to use the qualification or award following revocation.

There will be no rights of appeal against the determination of an OTHM decision to deprive a learner of a qualification or to revoke a qualification. Aggrieved learners may wish to pursue a complaint about the process through the complaints process or through an independent arbitrator.

## **7.0 Fraudulent or Mistaken Claims for Certification**

As part of its obligation to protect the integrity of the qualifications offered, it is the policy of OTHM not to accept direct claims request for certification from centres. Learner's work must be clearly identifiable and is assessed on authenticity by external quality assurance. Only when results are approved is the certification process detailed above, initiated.

## **8.0 OTHM Process for Minimising and Managing Errors**

- All learners are registered electronically to reduce the likelihood of human errors. The first step in registering learning is to request Centres to provide accurate learner information in a specific spreadsheet.
- When external verification takes place the EQA is issued with a learner results sheet with registered learners names, dates of birth and period studied. This is signed by the EQA and the Centre's Quality Assurance Coordinator to confirm details of learners are correct.
- If a centre identifies an error in learner registration details at any point before certification, they can contact OTHM to make amendments; the request must be made in writing by authorised centre staff.
- All information requested from Centres when dealing with external verification and certification is checked against records held by OTHM.

## 9.0 Notification of Results Period

OTHM expects Centres to release results to students within 10 working days of OTHM uploading the external verification report. However, OTHM reserves the right to release the results directly to learners if this is not adhered to.

All results are released within the principles and obligation of the Data Protection Act 2018.

## 10.0 Certificate Issue and Reissue Record Log

To meet its obligation under section II4.2 issue of and replacement of certificates within Ofqual Conditions of Recognition, OTHM maintains an electronic Certificate Issue and Reissue log which with limited access.

This log keeps a record of all certificates issued numerically detailing all the Learners details and type of Certificate (Issue or Reissue). Damaged or defaced certificates are also logged in the same Register.

## 11.0 Design of OTHM Certificates

All OTHM Certificates are designed to meet and comply with the stringent General Conditions of Recognition stipulated by the Regulators. As such, all OTHM Certificates are professionally procured taking all the following specifications in mind:

- All certificates OTHM issues clearly and uniquely identify both the learner and the certificate itself
- All certificates OTHM issues clearly display the title of the qualification as it appears on the Register (and any Endorsement known after the qualification is submitted to the Register) and do not include any other title for the qualification.
- Issues only certificates which are clear and readily capable of being understood by users of qualifications.
- Issue only certificates which are accurate, complete and which reflect accurate and complete results.
- OTHM certificates design does not include a qualification which is not a regulated qualification on a certificate which contains regulated qualifications.

## 12.0 Regulatory references

Ofqual requires all regulated Awarding Organisations to establish and maintain evidence of their compliance with the General Conditions of Recognition. As part of its ongoing process of compliance, OTHM policies and procedures will reflect the conditions and criteria they address.

This policy addresses the following Ofqual General Conditions of Recognition (GCR).

| GCR Reference | GCR Section title                                 |
|---------------|---|
| G5            | Registration of Learners                          |
| I14           | Issuing certificates and replacement certificates |

## 13.0 Policy review date

July 2020

## 14.0 Useful contacts

For more information on our qualifications and services visit: [www.othm.org.uk](http://www.othm.org.uk).  
Alternatively, call at: +44(0)20 7118 4243 or email at: [info@othm.org.uk](mailto:info@othm.org.uk)

End of policy