QUALITY ASSURANCE MODEL: GUIDANCE NOTES

Quality assurance principles, criteria, application process and on-going quality assurance arrangements for becoming an SCQF Credit Rating Body
INTRODUCTION

These Guidance Notes are designed to assist stakeholders to understand the SCQF Partnership’s Quality Assurance Model for becoming an SCQF Credit Rating Body.

They will be of interest to organisations that:

- Want to find out more about obtaining SCQF Credit Rating Body status;
- Are about to make an application to become an SCQF Credit Rating Body;
- Are approved as an SCQF Credit Rating Body by the SCQF Partnership Board.

The Guidance Notes provide information on the SCQF, the SCQF Partnership and the background to SCQF Credit Rating Bodies. The underpinning quality assurance principles are explained along with the criteria required to be met by organisations applying to become an SCQF Credit Rating Body, the scope of credit rating for newly approved organisations and the on-going quality assurance arrangements.

The Guidance Notes also explain the Collaborative Partnership approach where a number of organisations may apply collectively rather than apply as an individual organisation. The Guidance Notes provide details of the additional requirements and evidence required for organisations forming Collaborative Partnerships.

For those organisations already approved as an SCQF Credit Rating Body, the Guidance Notes set out the on-going quality assurance arrangements and the criteria and process for approval to credit rate the provision of others, known as ‘third party’ provision.

The Application Forms for becoming an SCQF Credit Rating Body and for credit rating third party provision can be obtained by contacting Audrey McClements, Quality Officer, SCQF Partnership at a.mcclements@scqf.org.uk.

I hope that you find these Guidance Notes helpful, however, if you have any questions please do not hesitate to contact me on the e-mail address below. My contact details are:

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1 BACKGROUND

1.1 The Scottish Credit and Qualifications Framework

The Scottish Credit and Qualifications Framework (SCQF) was developed in 2001 to meet the needs of Scotland’s learners. It was created by bringing together the majority of Scottish mainstream qualifications into a single unified Framework. Within the overall context of lifelong learning, the aims of the SCQF are to:

- Help people of all ages and circumstances to access appropriate education and training over their lifetime to fulfil their personal, social and economic potential;
- Enable employers, learners and the public in general to understand the full range of Scottish qualifications, how the qualifications relate to each other and how different types of qualifications can contribute to improving the skills of the workforce.

The SCQF provides a vocabulary for describing learning and helps to:

- Make the relationships between qualifications clear;
- Clarify entry and exit points, and routes for progression;
- Maximise the opportunities for credit transfer;
- Assist learners to plan their progress and learning; and
- Minimise the duplication of learning.

The SCQF uses two measures to help in understanding and comparing qualifications and learning programmes: SCQF Level and SCQF Credit Points.

SCQF Levels are based on a single set of Level Descriptors which are the common reference points and definitions that provide a way of recognising learning that is outcome-based and quality-assured. There are 12 SCQF Levels that provide an indication of the complexity of qualifications and learning programmes. SCQF Level 1 is the least demanding and SCQF Level 12 is the most demanding.

SCQF Credit Points relate to the notional learning time required by an average learner, at a specified level, to achieve the learning outcomes of the qualification or learning programme. One SCQF Credit Point represents a notional ten hours of learning.

1.2 The SCQF Diagram

### THE SCOTTISH CREDIT AND QUALIFICATIONS FRAMEWORK

<table>
<thead>
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<th>SCQF Levels</th>
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<td>Higher National Diploma</td>
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<td>Advanced Higher Scottish Baccalaureate</td>
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<tr>
<td>6</td>
<td>Higher</td>
<td>Certificate of Higher Education</td>
<td>SVQ3</td>
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<td>5</td>
<td>Intermediate 2 Credit Standard Grade</td>
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1.3 The Scottish Credit and Qualifications Framework Partnership

In November 2006, the *Scottish Credit and Qualifications Framework Partnership* (SCQF Partnership) was established as a company limited by guarantee to manage the Framework. The company became a charity registered in Scotland in March 2007. Its members are:

- Quality Assurance Agency for Higher Education;
- Scotland’s Colleges;
- Ministers of the Scottish Government;
- Scottish Qualifications Authority; and
- Universities Scotland.
The aims of the SCQF Partnership are to:

- Maintain the quality and integrity of the Framework;
- Promote and develop the Framework as a tool to support lifelong learning; and
- Develop and maintain relationships with other frameworks in the UK, Europe and internationally.

The SCQF Partnership Board comprises senior representatives from the member organisations, along with an Independent Chair.

The SCQF Executive Team, headed by a Chief Executive Officer, supports the strategic development of the Framework and the implementation of the annual SCQF Partnership Operational Plan.

In December 2006, following the incorporation of the company, the SCQF Partnership Board established the SCQF Quality Committee. The SCQF Quality Committee has responsibility for maintaining the quality and integrity of the Framework. Included within its remit is the responsibility for extending the number of SCQF Credit Rating Bodies and the provision of clear, accurate, technical information to all those with an interest in learning.

1.4 SCQF Credit Rating

Credit rating is the process of allocating an SCQF Level and SCQF Credit Points to a defined set of learning outcomes. Any qualification or learning programme has the potential to be included in the Framework provided that the following criteria are met:

- The learning must be based on learning outcomes;
- Learning outcomes must be subject to reliable and valid methods of assessment that are recorded;
- The learning must have a minimum of a notional 10 hours of learning; and
- The learning is included within an appropriate quality assurance system.

The current SCQF Credit Rating Bodies are the Higher Education Institutions (HEIs), Scottish Qualifications Authority (SQA), Scotland’s colleges and other organisations that have the approval of the SCQF Partnership Board. A full list of SCQF Credit Rating Bodies is available on the SCQF website at www.scqf.org.uk

A key aspect of credit rating is the quality assurance of the process itself. It is important that all providers of education and training, learners, employers and the public in general have a shared confidence that the level and credit value of any programme, qualification or individual learner achievement has been determined in accordance with
agreed, clear and robust processes, criteria and principles. The SCQF Handbook: User Guide contains the SCQF Credit Rating Guidelines which are statements of principles and procedures that enable all users of the SCQF, including learners themselves, to have confidence that there is a consistent approach to determining the level and credit value of learning within the SCQF. All organisations approved as an SCQF Credit Rating Body must adhere to the SCQF Credit Rating Guidelines as set out in the SCQF Handbook: User Guide which can be downloaded from www.scqf.org.uk

1.5 Background to Extending the Facility to Credit Rate

When the SCQF was first established the only SCQF Credit Rating Bodies were SQA and the HEIs. Partners recognised the importance of broadening the Framework to cover a wider range of qualifications and learning programmes and, following a pilot in 2006, the facility to credit rate was extended to colleges.

The commitment of the SCQF Partnership to extend the facility to credit rate to other bodies, whilst ensuring the process does not compromise the integrity and quality of the Framework, led to the development of the SCQF Quality Assurance Model for Becoming an SCQF Credit Rating Body that includes the:

- Application process;
- Set of criteria;
- Approval process; and
- On-going quality assurance arrangements.

The SCQF Quality Assurance Model was developed to ensure a robust system that provides confidence to all stakeholders and users of the SCQF. It was approved by the SCQF Partnership Board and the facility to credit rate was extended to others in December 2008.

It was recognised that there may be circumstances where individual organisations cannot fully meet the criteria independently but they may be able to do so if they join with others to form a Collaborative Partnership. The SCQF Partnership Board agreed the quality assurance requirements for Collaborative Partnership arrangements and the modifications to the criteria to accommodate this approach.

It is important to stress that extending the facility to credit rate concentrates on how to achieve the key aims of the SCQF as a national descriptive Framework for all learning, whilst simultaneously focusing on the robust quality assurance which is vital to ensure the integrity of all SCQF credit rating decisions.
2 APPLICATION PROCESS

2.1 Who Can Apply to Become an SCQF Credit Rating Body?

Individual organisations or organisations that form a Collaborative Partnership can apply to become an SCQF Credit Rating Body. The SCQF Partnership has in place criteria and an application process for organisations to apply to become an SCQF Credit Rating Body. In order to gain approval, organisations must meet the agreed criteria demonstrating that they operate rigorous quality assurance procedures which are subject to internal and external quality assurance for the allocation of an SCQF Level and SCQF Credit Points as set out within the SCQF Handbook: User Guide.

Evidence of the ability and commitment to credit rate for the SCQF must be provided. Interested organisations are advised to attend an information session where the criteria and the quality assurance requirements are explained and which offer the opportunity for discussion. These are held regularly by the SCQF Partnership and information on the dates and location for these sessions is available on the SCQF website.

2.2 Pre-Application Visit

As part of the application process an Officer of the SCQF Executive Team will hold a Pre-Application Visit with representatives of organisations that express interest in progressing with an application. Where organisations plan to make an application as a Collaborative Partnership, the Officer will meet with representatives from all of the organisations involved at the Pre-Application Visit.

Discussions are aimed at identifying if those bodies are likely to meet the criteria, to discuss the support required, the costs and the potential timescales.

2.3 Making an Application

It is possible for individual organisations to make an application to become an SCQF Credit Rating Body and the criteria which are required to be met in full and the scope of credit rating are set out in sections 4.1 and 4.2 respectively. The Application Form seeks information about the organisation, its proposals and potential for carrying out credit rating activity and reflects the criteria listed in section 4.1.

The requirements for Collaborative Partnerships are set out in section 4.3 and applicants should refer to both sections 4.1 and 4.3 to ensure that their application clearly provides the evidence required. The permissible scope of credit rating for Collaborative Partnerships is given in section 4.3.3.
There is a different Application Form for organisations applying as an independent organisation from that for organisations applying as a Collaborative Partnership. Organisations and Collaborative Partnerships seeking approval to credit rate should make a formal application to the SCQF Partnership by means of the relevant Application Form.

The criteria are also provided in Appendix B along with a number of examples of the type of evidence that is required to be submitted to the SCQF Partnership. Please ensure that you receive the correct Application Form and that evidence is clearly cross referenced to the section to which it applies.

If appropriate, the organisation or Collaborative Partnership can provide supplementary information for the SCQF Quality Committee. In recognition of quality convergence issues, those seeking approval as an SCQF Credit Rating Body are able to submit documents developed for the review/inspection/quality assurance purposes of other bodies as supporting evidence.

Application Forms from Collaborative Partnerships must be accompanied by a legally binding contract which sets out the respective rights and obligations of all parties. Further details on the requirements of the contract are given in section 4.3.1.

When received by the SCQF Partnership, the completed Application Form, and any supplementary information supplied by the organisation or Collaborative Partnership, is scrutinised by the SCQF Executive Team to ensure that it is complete. An Officer from the SCQF Executive Team will contact the applicant’s named representative if further clarification or information is required.

When an organisation or Collaborative Partnership first seeks credit rating status, it is considered on the basis of its potential to operate as an SCQF Credit Rating Body. When the capability has been satisfactorily ascertained, the approval process then considers the proposed scope of its credit rating powers.

The criteria by which an organisation or Collaborative Partnership is approved and reviewed as an SCQF Credit Rating Body enables qualitative judgements to be made about its capability to take on the responsibility as an SCQF Credit Rating Body and its subsequent ability to perform the role to an acceptable standard.

In making the application to become an SCQF Credit Rating Body, the organisation or Collaborative Partnership agrees to receive visits by SCQF Partnership representatives as required.
3 PRINCIPLES UNDERPINNING THE QUALITY ASSURANCE

3.1 Quality Assurance

When used in the context of SCQF Credit Rating Bodies, the term ‘quality assurance’ includes the Criteria for Becoming an SCQF Credit Rating Body, the application process, the Approval Process through which such bodies are recognised as an SCQF Credit Rating Body and, following approval, the way in which they subsequently carry out their credit rating activities. On behalf of the SCQF Partnership Board, quality assurance arrangements are overseen by the SCQF Quality Committee and comprise:

- Recommendation for approval as an SCQF Credit Rating Body;
- Annual Monitoring of the SCQF Credit Rating Body; and
- Periodic Review of the quality assurance system of the SCQF Credit Rating Body, normally on a four year cycle.

3.2 Demonstrating the Ability to Credit Rate

To be approved as an SCQF Credit Rating Body the body must demonstrate that it fully meets the three criteria. In addition, it must provide evidence of the ability to credit rate. This can be done by demonstrating that it:

- Either has recently submitted at least one of its own programmes or qualifications to an SCQF Credit Rating Body for formal credit rating and has had its proposals for credit and level confirmed by the SCQF Credit Rating Body. This option is open to a Collaborative Partnership where at least one of the organisations within the Collaborative Partnership can demonstrate this requirement.

- Or conducts a dry run of its new credit rating processes by credit rating at least one of its own programmes at the same time as the Approval Process is in progress and has had its decisions for credit and level confirmed through its own internal and external review processes. A Collaborative Partnership selecting this option would conduct the dry run of the credit rating process operating as a Collaborative Partnership, not as individual organisations.

In the second option, the result of the credit rating exercise will be reported to the SCQF Partnership and will form part of the Approval Process. An Officer from the SCQF Executive Team will co-ordinate the outcome of the credit rating exercise with the Review Visit so that both can be considered at the same meeting of the SCQF Quality Committee.
4 CRITERIA FOR BECOMING AN SCQF CREDIT RATING BODY

4.1 Criteria

The following three criteria must be met in full by organisations and Collaborative Partnerships seeking approval as an SCQF Credit Rating Body:

- **Criterion 1:** Body of Good Standing;
- **Criterion 2:** Robust Quality Assurance System; and
- **Criterion 3:** Capacity and Commitment.

These are detailed below and are also provided in Appendix B with examples of the type of evidence that is required to be submitted to the SCQF Partnership. All evidence should be clearly cross referenced to the section to which it applies on the relevant Application Form.

Collaborative Partnerships must also meet the requirements set out in section 4.3.

<table>
<thead>
<tr>
<th>Criterion 1: A Body of Good Standing</th>
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<tbody>
<tr>
<td>The organisation is a body of good standing, demonstrating a successful track record in the design and delivery of learning provision in Scotland.</td>
</tr>
<tr>
<td>1.1 Provide a formal constitution which describes its identity, functions, aims and structures.</td>
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<tr>
<td>1.2 Demonstrate that it is a secure, stable and viable organisation.</td>
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<tr>
<td>1.3 Demonstrate a knowledge and understanding of education and training in Scotland.</td>
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<tr>
<td>1.4 Provide evidence of a successful track record of operating in Scotland.</td>
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<tr>
<td>1.5 Provide evidence of a successful track record in devising quality assured learning provision in Scotland in relation to specific subjects/industries/sectors and levels.</td>
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<td>1.6 Provide evidence confirming that its diversity and equality strategy meets the requirements of current legislation.</td>
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<tr>
<td>1.7 Provide an effective staff development policy.</td>
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| The organisation already has in place a documented quality assurance system for programme design, approval, validation, accreditation, assessment or other related activities and has evidence, through internal and external review, that this quality assurance system is valid and reliable. | The organisation must:

2.1 Operate a robust quality assurance system for programme design, approval, validation, accreditation, assessment or other related activities and demonstrate that the separate processes which make up the quality assurance system:
- are operated by individuals who are experienced in the relevant process and have subject expertise where this is required
- are supported by appropriate management structures and have externality in decision making
- are benchmarked against other equivalent processes
- are subject to regular review to ensure that they continue to meet the needs of users.

2.2 Demonstrate that it regularly reviews and strives to improve and enhance its quality assurance system by:
- carrying out internal reviews on all aspects of the quality assurance system
- taking action on the outcome of such internal reviews.

2.3 Ensure that its quality assurance system is subject to regular external review and provide evidence of:
- the outcome of these external reviews
- actions taken as a result of these external reviews. |
## Criterion 3: Capacity and Commitment

The organisation must:

3.1 Document a robust procedure for credit rating which sits within the existing quality assurance system and complies with the requirements of the SCQF Handbook: User Guide which contains the SCQF Credit Rating Guidelines.

3.2 Define the scope of credit rating authority being applied for in terms of levels, sectors, subjects and types of programmes or qualifications.

3.3 Document a robust procedure for the internal review of the proposed credit rating process showing how it sits within the existing quality assurance system.

3.4 Demonstrate the ability to make valid and reliable decisions on credit rating, drawing on appropriate sector/subject/industry and level expertise and relating activities to the existing quality assurance system.

3.5 Document a robust procedure to:
   - record the outcomes of the credit rating process
   - communicate these outcomes to users and other stakeholders
   - keep the SCQF database up to date by way of the SCQF portal
   - describe the way in which the SCQF logo will be used.

3.6 Document a procedure for developing an annual self-assessment report on credit rating activity for the SCQF Partnership.

3.7 Show how the credit rating function and its associated quality assurance are supported by staff development, continuing professional development and/or professional development planning.

The above criteria are used to judge:

- Applications by an organisation or a Collaborative Partnership seeking approval to become an SCQF Credit Rating Body; and
- The ongoing performance and quality assurance of SCQF Credit Rating Bodies approved by the SCQF Partnership Board.
4.2 Scope of Credit Rating: Individual Organisation

When approved as an SCQF Credit Rating Body, individual organisations can credit rate their own qualifications and learning programmes. As a new SCQF Credit Rating Body, it may also be possible for the organisation to credit rate the provision of partner organisations when, at the time of application, it provides information on the partnership arrangements that it wishes to be considered as within scope (Appendix C). These partnerships would need to meet the following criteria:

- The partner’s quality assurance systems are either that of the Credit Rating Body or comply fully with those of the Credit Rating Body and are operated by individuals who understand fully the Credit Rating Body’s quality assurance systems. These systems would normally cover arrangements for programme design, approval, delivery, validation, accreditation, assessment and certification. To provide evidence of this the Credit Rating Body would need to:
  - ensure that the qualifications and learning programmes comply with the SCQF design principles and common core set of headings and approve any changes to these;
  - have arrangements in place for ensuring staff subject expertise for those delivering the qualification or learning programme;
  - approve its delivery and assessment plan;
  - provide the quality assurance of the assessment;
  - demonstrate that they have confidence in the partner organisation’s quality management structures;
  - ensure that the partner organisation’s externality in decision making aligns with that of the Credit Rating Body;
  - ensure that the partner organisation’s quality assurance system is subject to regular internal and external review and that action is taken as a result; and
  - endorse the provision by use of certification naming the Credit Rating Body as the quality assurance body.

Any partnership arrangements which did not meet these criteria would be designated as ‘third party’ and separate approval would be required at a later stage. See Section 8 on Third Party Provision.
4.3 Additional Requirements for Collaborative Partnerships

In addition to meeting Criteria 1, 2 and 3 given in previous sections, Collaborative Partnerships must also provide evidence that the following additional requirements and criteria are met (Appendix D).

4.3.1 Legally Binding Contract

All Application Forms from Collaborative Partnerships must be accompanied by a legally binding contract that sets out the respective rights and obligations of all parties. This will also:

- Outline the roles and responsibilities of all organisations within the Collaborative Partnership;
- Provide supplementary evidence for each of the three criteria which includes details of:
  - the organisation and personnel that will take lead responsibility for the quality assurance processes within the Collaborative Partnership;
  - the organisation and personnel that will take lead responsibility for the credit rating process within the Collaborative Partnership; and
  - the organisation that will take lead responsibility for communicating the outcome of the credit rating decision, including the use of the SCQF Logo and completion of the SCQF Database;
- Outline the procedure that will be taken, and the protection that will be given to learners, in the context of breach by one of the parties or termination of the agreement.

Please note:
If approval is given it will be dependent upon the contract continuing in force and any breach or non-compliance (or withdrawal of one of the partners) will result in withdrawal of the approval to credit rate.
4.3.2 Evidence from a Collaborative Partnership to Become an SCQF Credit Rating Body

The evidence required to demonstrate the criteria for a Collaborative Partnership is given below and these elaborate on the criteria for becoming a Credit Rating Body given in section 4.1. These sections should be read in conjunction with each other. Please ensure that each criterion is fully evidenced.

**Criterion 1: A Body of Good Standing**

1.1 All organisations in the Partnership must provide evidence of its formal constitution which describes its identity, functions, aims and structures and in addition through the contract must provide information on the constitution of the Collaborative Partnership.

1.2 Between them a minimum of 50% of the organisations must meet this sub criterion as all organisations forming a Collaborative Partnership may not be able to provide evidence that they are a secure, stable and viable organisation. For example, organisations operating within the CLD sector may be reliant on external funding from government or Europe. However, the organisation that takes the lead responsibility for Quality Assurance (Criterion 2) must be one of the organisations demonstrating financial security.

1.3 – 1.5 Organisations working primarily outside of Scotland (within the rest of the UK) may wish to be part of a Collaborative Partnership; however, between them a minimum of 50% of the organisations must demonstrate a knowledge and understanding of education and training in Scotland, provide successful track records of operating and devising quality assured learning in relation to specific subjects/industries/sectors and levels.

1.6 All organisations involved in the Collaborative Partnership must provide evidence confirming that their diversity and equality strategies meet the requirements of current legislation.

1.7 A minimum of 50% of organisations must provide evidence of having staff development policies at the point of application. The organisations leading on credit rating (Criterion 3) must be one of the organisations that meet this sub-criterion at the point of application. Given the importance of this, a commitment would have to be given that a staff development policy would be in place in all organisations (100%) by the Review Visit. If this was not met it would be highlighted to the SCQF Quality Committee by the Review Team for their recommendation for proceeding.
Criterion 2: Robust Quality Assurance System

Within the contract, details must be provided on the organisation within the Collaborative Partnership that will take the lead responsibility for the quality assurance processes on behalf of all the organisations. The contract requires to be signed off by all organisations within the Collaborative Partnership.

The contract must incorporate details on the quality assurance and credit rating processes and it must include the experience of individuals who will undertake these activities. A communication plan must also be included in relation to how the Partnership will communicate the credit rating decisions and completion of the SCQF Database.

The lead organisation will be responsible for collating the evidence to support each sub criterion for Criterion 2. To meet this criterion the collaboration will need to demonstrate that it has in place a robust quality assurance system. Under each sub–criterion the Application Form must be supported by the contract and documentary evidence which provides detail of the following:

2.1 Those involved in:
   • operating the quality assurance system for programme design, approval, validation, accreditation, assessment or other related activities, including their experience and expertise;
   • the management structures and the involvement of externality in decision making.

Evidence of how the systems and decisions are benchmarked against other equivalent processes and of regular reviews to ensure they continue to meet the needs of users.

2.2 Those involved in the internal reviews, the frequency of these and action taken as a result of the review (this may not be available at the point of application, but would be reviewed at the annual self assessment).

2.3 Those involved in the external reviews and reasons for choice of organisation, the frequency of reviews and action taken as a result of the review (this may not be available at the point of application, but would be reviewed at the annual self assessment).
Criterion 3: Capacity and Commitment

The Collaborative Partnership must demonstrate that it collectively has the capacity and commitment to act as an SCQF Credit Rating Body. Evidence against each of the sub-criterion for Criteria 3 must include details of:

3.1 The composition of the Credit Rating Panel with CVs showing evidence of relevant experience, how provision is submitted to the panel, frequency of meetings and how the outcomes are recorded.

3.2 The defined scope of the provision that the Collaborative Partnership will credit rate and their reasons for this.

3.3 The way in which the lead organisation will undertake to ensure a documented robust quality assurance process for the Collaborative Partnership.

3.4 The Partnership is expected to select and provide documented evidence of a programme it had credit rated collaboratively as part of the application process, and provide evidence of the expertise involved in the credit rating process.

3.5 The named contact for the person(s) responsible for recording and communicating the outcomes of the credit rating process, and updating the SCQF Database.

3.6 The named contact for the person responsible for managing the self-assessment process for the Collaborative Partnership and reporting to the SCQF Partnership.

3.7 Those responsible for the staff development, continuous professional development and planning for all involved in the credit rating process.

4.3.3 Scope of Credit Rating: Collaborative Partnership

A Collaborative Partnership approved as an SCQF Credit Rating Body can credit rate the learning provision of the organisations that comprise the Collaborative Partnership. The scope of credit rating as set out in section 4.2 for individual organisations does not apply for Collaborative Partnerships.

However Collaborative Partnerships have the opportunity to apply to credit rate the provision of others – known as ‘third party provision’. A fourth criterion has been developed for both individual organisations and for Collaborative Partnerships seeking approval to credit rate ‘third party provision’. Such approval will be undertaken as a separate exercise after the individual organisation or Collaborative Partnership has had the opportunity to put its own credit rating processes into practice, credit rating a range of programmes over a period of time.
5 APPROVAL PROCESS

5.1 Managing the Approval Process

An Officer of the SCQF Executive Team will be allocated to liaise with the organisation or Collaborative Partnership to manage the approval process from receipt of the application to the outcome of the decision of the SCQF Partnership Board. This Officer will be a different individual from that who liaises with the organisation or Collaborative Partnership in the Pre-Application stage. Amongst other activities the Officer will receive the Application Form and where appropriate, the legally binding contract. On receipt a timetable will be discussed and agreed between the applying body and the SCQF Partnership and an invoice will be issued.

A Review Team will be formed to carry out the Approval Process. The Review Team will comprise a member of the SCQF Executive Team, an appointed External Reviewer and a Member of the SCQF Quality Committee. The Team will consider the Application Form against all three criteria. Applications from Collaborative Partnerships will also be considered in light of the legal contract and documentation required to evidence the criteria for a Collaborative Partnership set out in section 4.3.

5.2 Approval Visit

An Approval Visit will always be made to the applicant organisation. For applications from a Collaborative Partnership, reviewers will meet collectively and individually with representatives from each of the Collaborative Partnership organisations to confirm the arrangements as set out in the legal contract.

A report on the organisation’s or the Collaborative Partnership’s position in relation to the criteria will be completed for discussion between the Review Team and the applicant on the day of Approval Visit. This will set out any issues or points for clarification identified from the consideration of the evidence and will be sent to the organisation prior to the visit.

Following this, a report on the applicant’s standing in relation to the criteria for a Collaborative Partnership, critiqued by all reviewers, will be shared with the organisation to check for accuracy prior to being submitted to the SCQF Quality Committee for its consideration and recommendation to the SCQF Partnership Board.
5.3 Approval Decision

The named contact for the individual organisation or Collaborative Partnership will be informed of the SCQF Partnership Board’s decision by an Officer of the SCQF Executive Team. The decisions that the SCQF Board may reach are:

i: Approval;  
ii: Conditional Approval; or  
iii: Not Approved.

Once approved as an SCQF Credit Rating Body within a defined scope/domain the body can start its credit rating operations. Approval is not time limited. An Officer of the SCQF Executive Team will explain the use of the SCQF Logo and the requirements for the completion of the SCQF Database. The application for the use of the logo and the terms and conditions are outlined in Appendix F.

The SCQF Executive Team and members of the SCQF Quality Committee will work closely with those bodies for which the decision of the SCQF Partnership Board is Conditional Approval. Ways in which the condition(s) can be lifted at the earliest opportunity will be discussed and agreed.

Where the decision by the SCQF Partnership Board is Not Approved the named contact will be informed that there is the right for appeal and they will be sent information on the appeals process. The only ground for appeal is that, based on all the evidence available to it at the time, the SCQF Quality Committee failed to conform to due process in reaching their decision. Organisations or Collaborative Partnerships that are not approved will be given one opportunity to resubmit their application. This may involve a further charge.

5.4 SCQF Credit Rating Bodies

When approved as an SCQF Credit Rating Body, the organisation is included in the list of SCQF Credit Rating Bodies available at www.scqf.org.uk
6 CENTRAL DATABASE OF SCQF CREDIT RATED PROVISION

6.1 SCQF Database

There is a central database of SCQF credit rated provision in order to support employers, learning providers, learners and those who credit rate qualifications and/or learning programmes. This database is accessible from the SCQF website at www.scqf.org.uk. It must be regularly updated by all SCQF Credit Rating Bodies to record the provision they have credit rated.

The benefits of the SCQF Database are as follows. It:

■ Provides a central point for current information available to learners, employers, learning providers and other SCQF Credit Rating Bodies;
■ Prevents duplication of credit rated provision;
■ Captures information on credit rated provision and dates for when the credit rating process is due for review (this would be provided by the SCQF Credit Rating Bodies as part of the monitoring process);
■ Has a key role in quality assuring and maintaining the integrity of the Framework; and
■ Assists the promotion of the SCQF as a more tangible product.

In order to upload details of their credit rated provision, new SCQF Credit Rating Bodies will be issued a username and password which gives access to the secure area of the SCQF Database.

7 ON-GOING QUALITY ASSURANCE

7.1 Risk Factors

The SCQF Quality Committee has identified a number of Risk Factors which are aimed at managing risk to the learner and the integrity and rigour of the Framework. It is the SCQF Quality Committee’s wish that bodies show that they can manage risk - not that they be risk-averse. Both the annual monitoring self assessment report and the Periodic Review will be considered against the following risk factors.
The SCQF Credit Rating Body:

- Continues to be secure, stable and viable;
- Has robust processes;
- Is subject to review by an external quality assurance body;
- Employs staff experienced in SCQF credit rating;
- Provides training and continuing professional development (CPD) in credit rating;
- Has a good credit rating track record within SCQF;
- Takes action in response to reports and reviews – both internal and external;
- Has changed the volume of its SCQF credit rating activity – up or down;
- Has changed the scope of its SCQF credit rating activity – wider or narrower;
- Has had changes in the personnel with responsibility for SCQF credit rating;
- Has had no credit rating activity since the last self assessment; and
- Has taken action on complaints made to the body and/or the SCQF Partnership.

7.2 Individual Organisation Annual Monitoring

New Credit Rating Bodies will be subject to annual monitoring by the SCQF Partnership in relation to the identified risk factors. Annual monitoring will always comprise a:

- Self assessment by the SCQF Credit Rating Body resulting in a report sent to the SCQF Partnership; and a
- Meeting between an Officer of the SCQF Partnership and the SCQF Credit Rating Body to discuss progress.

The SCQF Quality Committee will give consideration to the annual monitoring self assessment report and the outcome of discussions between the SCQF Partnership Officer and the SCQF Credit Rating Body.

If there is no cause for concern the organisation will remain on the list of SCQF Credit Rating Bodies published on the SCQF website. If there is any cause for concern in relation to the Risk Factors, the SCQF Quality Committee can request that a Periodic Review is instigated.

7.3 Collaborative Partnership Annual Monitoring

The Officer of the SCQF Partnership conducting the annual monitoring will meet with representatives from each organisation within the Collaborative Partnership on a
collective and individual basis to ascertain the robustness of working relationships and the operation of the contract.

The SCQF Quality Committee will give consideration to the annual monitoring self assessment report and to the working relationships within the Collaborative Partnership. If there is no cause for concern the Collaborative Partnership will remain on the list of SCQF Credit Rating Bodies published on the SCQF website.

If there is any cause for concern in relation to the SCQF Risk Factors the SCQF Quality Committee can request that a Periodic Review is instigated.

If there is any cause for concern with regard to the operation of the Collaborative Partnership as set out in the legal contract, the SCQF Quality Committee can request that an Action Plan is developed to reduce the identified risk. In the event of deteriorating working relationships within the Collaborative Partnership the relevant arrangements set out in the contract will be put in place and credit rating activities will be suspended until the recommendation from the Periodic Review is considered by the SCQF Partnership.

7.4 Periodic Review

In addition to the annual monitoring, new SCQF Credit Rating Bodies will be subject to a Periodic Review at least every four years. However, the frequency (not longer than four years) and the focus of the review will be determined by the SCQF Quality Committee.

If there are concerns raised about credit rating activity during these reviews the SCQF Quality Committee may request that no more provision is credit rated until the concerns are resolved, or in an extreme case, can remove credit rating status from the organisation.

The SCQF Partnership Board will give reasons for the decisions that it takes and will inform the organisation of these decisions via the SCQF Executive Team.

7.5 Removing Credit Rating Authority

Credit rating authority can be removed if, despite the provision of support and mentoring, a body experiencing difficulties continues to cause concern. The single ground for any appeal for the removal of credit rating is that, based on all the evidence available to it at the time, the SCQF Quality Committee failed to conform to due process in reaching the decision which it did reach. The appeals process will be made available on request.
8 APPLICATIONS TO CREDIT RATE THIRD PARTY PROVISION

8.1 Background

A fourth criterion has been developed to meet the requirements of the guidance given in Section 8.6 of the SCQF Handbook: User Guide. These additional requirements are of a demanding nature and the SCQF Quality Committee requires that a new SCQF Credit Rating Body provides some track-record evidence of success as an SCQF Credit Rating Body in its own right before being permitted to credit rate for third party organisations.

Approval for third party credit rating will therefore be undertaken as a separate exercise against the fourth criterion after the SCQF Credit Rating Body has had the opportunity to put its own credit rating processes into practice, credit rating a range of programmes over a period of time. The SCQF Partnership will not define the minimum number of programmes to be credit rated or the period of time which must elapse before the SCQF Credit Rating Body may seek third party credit rating status. It will be for the SCQF Credit Rating Body to show that it is ready to meet the pre-approval criteria of volume of activity and time since approval.

Therefore, the SCQF Credit Rating Body that has been approved by the SCQF Partnership Board to credit rate its own provision may submit the relevant Application Form, if agreed by the SCQF Executive Team. The SCQF Credit Rating Body will have demonstrated evidence against Criterion 1-3 and, if applying to credit rate third party provision, will have to provide evidence based on Criterion 4.

8.2 Application Process for Third Party Credit Rating

An SCQF Credit Rating Body wishing to credit rate for third party organisations should contact the SCQF Executive Team to inform them of this decision. The Application Form for Third Party Credit Rating must be completed and returned to the SCQF Partnership. This must provide evidence against Criterion 4 for Third Party Credit Rating (Appendix E). An Officer of the SCQF Partnership will contact the SCQF Credit Rating Body to discuss timescales in relation to the scheduled meetings of the SCQF Quality Committee and SCQF Partnership Board.

The application will be considered by the SCQF Quality Committee and will be based on the evidence that is submitted along with the time and experience that the SCQF Credit Rating Body has in relation to credit rating their own provision.

The SCQF Quality Committee will make recommendation to the SCQF Partnership Board for their decision and the SCQF Credit Rating Body will be informed of the decision at the earliest opportunity in writing. There is no fee for this application process.
Criterion 4: Third Party Credit Rating

The organisation has the capacity, commitment and experience to operate as an SCQF third party credit rating body and has the structure and systems in place to carry out this function. It ensures that its systems link to and operate within its existing quality assurance system as already defined under Criterion 2 and that they comply with the requirements of the SCQF Handbook: User Guide, Section 4.

The organisation must:

4.1 Define the scope of third party credit rating authority being applied for in terms of levels, sectors, subjects and types of programme or qualification and provide information on how this extension of its credit rating authority will broaden, deepen and extend the Framework;

4.2 Provide robust, direct evidence of its ability to make valid and reliable decisions on credit rating in its own right, drawing on appropriate sector/subject/industry and level expertise and relating activities to the existing quality assurance system;

4.3 Document a robust system for providing a quality-assured third party credit rating service which sits within the existing quality assurance system and covers procedures for ensuring that the SCQF Guidelines for third party credit rating are complied with fully;

4.4 Document a robust procedure for the internal review of the proposed third party credit rating service showing how this procedure sits within the existing quality assurance system;

4.5 Document a procedure for making an annual self assessment of its third party credit rating activity;

4.6 Show how the third party credit rating function and its associated quality assurance are supported by staff development, continuing professional development and/or professional development planning.
9 FEES FOR SERVICE

9.1 On Application

The fee for an organisation or a Collaborative Partnership submitting an application to become an SCQF Credit Rating Body in 2010-2011 is £7,700. This is reviewed annually.

9.2 Annual Self Assessment and Periodic Review

There is no fee for the annual self assessment. The fee for the Periodic Review is reviewed annually. In 2010-2011 the charge is £1000.

9.3 Third Party Credit Rating

There is no charge for applications for credit rating third party provision.
APPENDICES

Appendix A: Application Process for New Credit Rating Bodies

- Attend Information Session
- Express Interest
- Visit by SCQF Executive Team
  - Meet Criterion 1
    - YES
      - Make Application
        - Review by Review Team
        - Approval Visit
        - Report to Quality Committee
          - Recommendation
            - YES
              - Report to Board
                - Approval
                  - YES
                    - Meeting with SCQF Partnership
                      - SCQF QC
                  - With Condition
                    - Solution to Condition
                      - SCQF QC
                      - Not Approved
                      - NO
            - NO
              - Meet Criterion 1
                - NO
Appendix B: Criteria for New Credit Rating Bodies

CRITERION 1. A BODY OF GOOD STANDING

The organisation is a body of good standing, demonstrating a successful track record in the design and delivery of learning provision in Scotland.

<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Provide a formal constitution which describes its identity, functions, aims and structures.</td>
<td>Company strategic plan; formal constitution; business plan; audited accounts; organisational chart showing the key functions carried out by the organisation; documentation showing the organisation’s history; information about partners and stakeholders in Scotland.</td>
</tr>
<tr>
<td>1.2 Demonstrate that it is a secure, stable and viable organisation.</td>
<td>Customer service statement setting out standards of service users can expect; performance measures against which provision will be judged, focusing particularly on manageability, responsiveness and value for money; details of partner education and training providers; testimonies from these partners as well as others such as employers and stakeholders in Scotland.</td>
</tr>
<tr>
<td>1.3 Demonstrate a knowledge and understanding of education and training in Scotland.</td>
<td></td>
</tr>
<tr>
<td>1.4 Provide evidence of a successful track record of operating in Scotland.</td>
<td></td>
</tr>
<tr>
<td>1.5 Provide evidence of a successful track record in devising quality assured learning provision in Scotland in relation to specific subjects/industries/sectors and levels.</td>
<td></td>
</tr>
<tr>
<td>1.6 Provide evidence confirming that its diversity and equality strategy meets the requirements of current legislation.</td>
<td>Documentation showing how the organisation:  • has implemented its diversity and equality strategy; and  • ensures course accessibility in terms of content and delivery.</td>
</tr>
<tr>
<td>1.7 Provide an effective staff development policy.</td>
<td>Documentation showing:  • the staff development policy; and  • IIP registration.</td>
</tr>
</tbody>
</table>
CRITERION 2. ROBUST QUALITY ASSURANCE SYSTEM

The organisation already has in place a documented quality assurance system for programme design, approval, validation, accreditation, assessment or other related activities and has evidence, through internal and external review, that this quality assurance system is valid and reliable.

<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Operate a robust quality assurance system for programme design, approval, validation, accreditation, assessment or other related activities and demonstrate that the separate processes which make up the quality assurance system: • are operated by individuals who are experienced in the relevant process and have subject expertise where this is required; • are supported by appropriate management structures and have externality in decision making; • are benchmarked against other equivalent processes; and • are subject to regular review to ensure that they continue to meet the needs of users.</td>
<td>Procedures and policies for the quality assurance of programme design, approval, validation, accreditation, assessment or other related activities; roles and responsibilities of staff and/or committees involved in managing and operating both the quality assurance system and the individual processes within it; evidence of system review and action taken as a result; evidence of benchmarking activities and consideration of issues arising from these; evidence of process reviews and actions taken as a result.</td>
</tr>
<tr>
<td>2.2 Demonstrate that it regularly reviews and strives to improve and enhance its quality assurance system by: • carrying out internal reviews on all aspects of the quality assurance system; and • taking action on the outcome of such internal reviews.</td>
<td>Internal review reports; details of actions taken on the findings of these reports; details of action taken in relation to any quality enhancement activity.</td>
</tr>
<tr>
<td>2.3 Ensure that its quality assurance system is subject to regular external review and provide evidence of: • the outcome of these external reviews; and • actions taken as a result of these external reviews.</td>
<td>External review reports from quality assurance bodies such as QAA, SQA, HMIE; external review reports of other external quality assurance schemes; details of actions taken on the findings of these reports.</td>
</tr>
</tbody>
</table>
CRITERION 3. CAPACITY AND COMMITMENT

The organisation has the capacity and commitment to operate as an SCQF credit rating body and ensures that its credit rating processes and procedures link to and function within its existing quality assurance system as already defined under Criterion 2.

<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
</table>
| 3.1 Document a robust procedure for credit rating which sits within the existing quality assurance system and complies with the requirements of the SCQF Handbook, Section 1 – SCQF Credit Rating Guidelines. | Proposed credit rating procedure along with commentary showing how the procedure:  
• meets the criteria;  
• links to other quality assurance processes operated by the organisation; and  
• complies with the requirements of the SCQF Handbook, Section 1 – SCQF Credit Rating Guidelines. |
| 3.2 Define the scope of credit rating authority being applied for in terms of levels, sectors, subjects and types of programmes or qualifications. | Business plan on proposed credit rating activity covering:  
• aims and objectives;  
• the qualifications, occupational sectors and levels of expertise in which it proposes to credit rate;  
• organisational chart illustrating the key functions of staff and level of expertise in occupational sectors relating to design, delivery and assessment of qualifications;  
• examples of record keeping;  
• communication strategy for the credit rating process; and  
• identification of target dates to evaluate and review the effectiveness of the business plan. |
<p>| 3.3 Document a robust procedure for the internal review of the proposed credit rating process showing how it sits within the existing quality assurance system. | Internal review procedure and explanation of how this links to other quality assurance processes operated by the organisation. Arrangements for identifying and actioning any corrective and preventative measures arising out of internal review. |</p>
<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.4</strong> Demonstrate the ability to make valid and reliable decisions on credit rating, drawing on appropriate sector/subject/industry and level expertise and relating activities to the existing quality assurance system.</td>
<td>Organisational chart illustrating the key functions of staff and level of expertise in occupational sectors relating to design, delivery and assessment of qualifications; details of staff experience of credit rating in terms of any credit rating activity undertaken in another capacity – e.g. submitting programmes for credit rating by a third party; arrangements for implementing the credit rating procedure; explanation of how this procedure links to other quality assurance processes operated by the organisation; arrangements for confirming the effectiveness of induction and training for individuals in the credit rating process. See also 3.7</td>
</tr>
</tbody>
</table>
| **3.5** Document a robust procedure to:  
• record the outcomes of the credit rating process;  
• communicate these outcomes to users and other stakeholders;  
• keep the SCQF database up to date by way of the SCQF portal; and  
• describe the way in which the SCQF logo will be used. | Examples of the organisation’s certificates demonstrating how SCQF level and credit will be shown on certificates; examples of record keeping; documentation showing how the organisation will inform its stakeholders about the SCQF; documentation showing how the organisation will update the SCQF database; description of the way in which the organisation will use the SCQF logo. |
| **3.6** Document a procedure for developing an annual self-assessment report on credit rating activity for the SCQF Partnership. | Arrangements for the provision of an annual self-assessment report; description of how this process links to other quality assurance processes operated by the organisation. |
| **3.7** Show how the credit rating function and its associated quality assurance are supported by staff development, continuing professional development and/or professional development planning. | For individuals undertaking the credit rating process, examples of the organisation’s:  
• training programme for credit rating;  
• training needs analyses;  
• continuous professional development and/or personal development programme; and  
• induction training. |
Appendix C: Evidence for Partnership Arrangements

The partner's quality assurance systems are either that of the credit rating body or comply fully with those of the credit rating body and are operated by individuals who understand fully the credit rating body's quality assurance systems. These systems would normally cover arrangements for programme design, approval, delivery, validation, accreditation, assessment and certification.

<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 The qualifications and learning programmes comply with the SCQF design principles</td>
<td>Examples of how the qualifications are designed.</td>
</tr>
<tr>
<td>and common core set of headings and approve any changes to these.</td>
<td></td>
</tr>
<tr>
<td>2 Demonstrate the arrangements that are in place for ensuring staff subject expertise</td>
<td>Evidence of relevant expertise involved in the process.</td>
</tr>
<tr>
<td>for those delivering the qualification or learning programme.</td>
<td></td>
</tr>
<tr>
<td>3 A process is in place for approving delivery and assessment plans.</td>
<td>Quality assurance documentation outlining internal and external review processes and evidence of how the organisation approves the delivery and the assessment.</td>
</tr>
<tr>
<td>4 They are providing the quality assurance of the assessment.</td>
<td>Evidence of moderation of assessment, e.g. assessment panels.</td>
</tr>
<tr>
<td>5 Demonstrate they have confidence in the partner organisation's quality management</td>
<td>Documentation that shows evidence of the quality structures.</td>
</tr>
<tr>
<td>structures.</td>
<td></td>
</tr>
<tr>
<td>6 Ensure the partner organisation's externality in decision making aligns with that</td>
<td>Copies of internal and external review reports and how these align with the credit rating body.</td>
</tr>
<tr>
<td>of the credit rating body.</td>
<td></td>
</tr>
<tr>
<td>7 Ensure the partner organisation's quality assurance system is subject to regular</td>
<td>Copies of internal and external review reports and evidence of action taken as a result.</td>
</tr>
<tr>
<td>internal and external review and that action is taken as a result.</td>
<td></td>
</tr>
<tr>
<td>8 Demonstrates they endorse the provision by use of certification naming the credit</td>
<td>Examples of certificates showing endorsement.</td>
</tr>
<tr>
<td>rating body as the quality assurance body.</td>
<td></td>
</tr>
</tbody>
</table>
Appendix D: Additional Information for a Collaborative Partnership

Collectively a Collaborative Partnership must meet all the requirements of the three criteria set out in section 4.1. In forming a Collaborative Partnership it is likely that no single organisation can demonstrate all of the requirements to become an SCQF Credit Rating Body on its own and the criteria to become a credit rating body have been refined to accommodate Collaborative Partnership arrangements. This is set out in section 4.3 and its associated sub-sections. Therefore a Collaborative Partnership must refer to both sections 4.1 and 4.3 when making an application to the SCQF Partnership.

Legally Binding Contract
As outlined in section 4.3.1, the Application Form from a Collaborative Partnership must be accompanied by a legally binding contract that sets out the respective rights and obligations of all parties. Within the contract, details must be provided on the organisation within the Collaborative Partnership that will take the lead, on behalf of all the organisations for the quality assurance processes, the credit rating process and for the all communication activities including communicating the outcome of credit rating decisions, completing the SCQF Database and taking responsibility for the use of the SCQF Logo. The contract must include the procedure that will be taken in the event of breach by one of the partners or the termination of the agreement. This must include the protection that will be given to learners in such an event. The contract requires to be signed off by all organisations within the Collaborative Partnership.

Additional Information for Criterion 1: A Body of Good Standing
There is sub-criterion that must be demonstrated by all organisations forming the Collaborative Partnership. However in some cases a minimum number of organisations must demonstrate the sub criterion. An example of this is Criterion 1: A Body of Good Standing, the sub-criterion relating to the secure, stable and viable organisation for Collaborative Partnership arrangements (1.2) states that a minimum 50% of the organisations must meet this requirement. Where three organisations form the Collaborative Partnership, a minimum of two out of the three organisations must demonstrate the requirement.

Additional Information for Criterion 2: Robust Quality Assurance System
The application must clearly set out the organisation that will take the lead for quality assurance and must incorporate the credit rating process that will be adopted. This must be accompanied by information on the procedures that will be undertaken along with detailed information on the personnel involved including their role within their own organisation and within the Collaborative Partnership.

Information must be provided on the process that will be adopted for the internal and external review requirements. For internal reviews details must be provided of the organisation(s) within the Collaborative Partnership that will conduct the internal review detailing the personnel involved and their experience. Details should also be provided of the organisation(s) that will conduct the external reviews. The organisation(s) must not be part of the collaborative partnership and information is required on the reasons for the selection of the external organisation, the external organisation’s experience of credit rating and the personnel involved.

Additional Information for Criterion 3: Capacity and Commitment
The Collaborative Partnership must provide details of the personnel and their organisations for all the activities associated with Criterion 3 including the composition of the credit rating panels and those responsible for staff development activity in relation to being an SCQF Credit Rating Body. A communication plan must be included with the application. The communication plan must set out the way in which the outcome of credit rating activity will be communicated to learners and to the SCQF Partnership and should include details of the personnel that will be responsible for the completion of the SCQF Database.
## Appendix E: Third Party Credit Rating

### CRITERION 4. PROVIDING A CREDIT RATING SERVICE FOR THIRD PARTIES

<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
</table>
| **Define the scope of third party credit rating authority being applied for in terms of levels, sectors, subjects and types of programme or qualification and provide information on how this extension of its credit rating authority will broaden, deepen and extend the Framework.** | **Business plan on proposed third party credit rating activity covering:**  
- aims and objectives;  
- the qualifications, occupational sectors and levels of expertise in which it proposes to credit rate;  
- organisational chart illustrating the key functions of staff and level of expertise in occupational sectors relating to design, delivery and assessment of qualifications;  
- examples of record keeping;  
- marketing strategy for the credit rating process; and  
- identification of target dates to evaluate and review the effectiveness of the business plan. |
<p>| <strong>Provide robust, direct evidence of its ability to make valid and reliable decisions on credit rating in its own right, drawing on appropriate sector/subject/industry and level expertise and relating activities to the existing quality assurance system.</strong> | <strong>Reports from the body’s annual monitoring of its own credit rating process; details of the experience of existing staff in credit rating own programmes; organisational chart illustrating key functions of the credit rating service; details of how individuals with the required level of expertise in occupational sectors relating to design, delivery and assessment of qualifications will be accessed and deployed; arrangements for implementing the credit rating procedure; explanation of how this procedure links to other quality assurance processes operated by the organisation.</strong> |</p>
<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
</table>
| Document a robust system for providing a quality-assured third party credit rating service, which sits within the existing quality assurance system, and covers procedures for ensuring that the SCQF Guidelines for third party credit rating are complied with fully. | Proposed procedure for third party credit rating along with commentary showing how the procedure:
• meets the criteria;
• builds on the body’s existing credit rating experience;
• links to other quality assurance processes operated by the organisation; and
• complies with the requirements of the SCQF Handbook, Section 1 – SCQF Credit Rating Guidelines. This includes the proposed procedures for the decision-making function in relation to third party credit rating, the administration of the credit rating service and the support function; proposed charging policy; proposed appeal process; proposed procedure for ensuring that the submitting body’s assessments are subject to external review and monitoring; proposed procedure for the submitting body to report to the credit rating body; proposed guidance for submitting bodies on certificates and the way in which these should show SCQF level and credit; examples of record keeping; documentation showing how the organisation will inform its learners and other stakeholders about the SCQF. Internal review procedure and explanation of how this links to other quality assurance processes operated by the organisation. Arrangements for identifying and actioning any corrective and preventative measures arising out of internal reviews. Arrangements for the provision of an annual self-assessment report; description of how this process links to other quality assurance processes operated by the organisation. |
<table>
<thead>
<tr>
<th>Indicative Evidence</th>
<th>Examples of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Show how the third party credit rating function and its associated quality assurance are supported by staff development, continuing professional development and/or professional development planning.</td>
<td>Documentation showing how the organisation will update the SCQF database.</td>
</tr>
<tr>
<td>Document a procedure to update and maintain the accuracy of the SCQF Database in terms of the third party provision it has credit rated.</td>
<td>Proposals for the development of personnel in credit rating; examples of the body’s training programme for credit rating, training needs analyses, continuous professional development and/or personal development programme, and induction training.</td>
</tr>
<tr>
<td>Document a procedure to ensure the appropriate use of the SCQF Logo by submitting bodies.</td>
<td>Description of the way in which the organisation will use the SCQF logo.</td>
</tr>
</tbody>
</table>
Appendix F: Application for the Use of the SCQF Logo

Criteria for use of the SCQF Logo – Information Form and Conditions and Terms of Use

Organisations that are approved as SCQF Credit Rating Bodies are expected to use the SCQF Logo on all provision that they have credit rated.

SCQF Credit Rating Bodies that provide a third party credit rating service are expected to ensure the appropriate use of the SCQF Logo by submitting bodies.

1  PLEASE PROVIDE THE FOLLOWING INFORMATION

<table>
<thead>
<tr>
<th>SCQF Credit Rating Body</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name</strong></td>
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<tr>
<td></td>
</tr>
<tr>
<td><strong>Organisation</strong></td>
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<tr>
<td></td>
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<tr>
<td><strong>Address</strong></td>
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<td></td>
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<tr>
<td><strong>Tel/Fax</strong></td>
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<tr>
<td></td>
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<tr>
<td><strong>Email</strong></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact in relation to use of the SCQF Logo</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name</strong></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td><strong>Organisation</strong></td>
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<td></td>
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<td><strong>Address</strong></td>
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<td></td>
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<tr>
<td><strong>Tel/Fax</strong></td>
</tr>
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<td></td>
</tr>
<tr>
<td><strong>Email</strong></td>
</tr>
</tbody>
</table>
2 FULL DESCRIPTION OF INTENDED SCQF LOGO USAGE

Please describe

Period of use

3 USAGE CATEGORIES

I wish to include the SCQF Logo in the following material:
(Please tick the appropriate categories)

☐ Website    ☐ Advertisement
☐ Leaflet/Flyer ☐ Corporate folder
☐ Brochure    ☐ Certificate

Please note that your use of the Logo is subject to you returning this form along with a signed copy of the attached Conditions and Terms of Use to Samantha Houten Feeley of the SCQF Partnership.

Where organisations are providing a third party Credit Rating Service they will be responsible for the appropriate use of the SCQF Logo and are requested to collect the following information from submitting bodies:

4 CONTACT DETAILS OF SUBMITTING BODY

Name

Organisation

Address

Tel/Fax

Email

On each occasion, this information should be passed to Samantha Houten Feeley as above.
SCQF LOGO CONDITIONS AND TERMS OF USE

The trade mark and logo set out in the attached appendix (the “Logo”) is a registered trade mark and logo with registered numbers [2372410, E6465504 and E6465851]. The Logo is owned by the Scottish Credit and Qualifications Framework Partnership, a company which is a charity (Scottish charity number SC037958) incorporated under the Companies Acts in Scotland with registered number SC311573 having its registered office at 39 St. Vincent Place, Glasgow G1 2ER (“SCQF”). These conditions and terms of use (the “Terms”) govern the use of the Logo by the SCQF Credit Rating Body named in the attached form (the “User”). Please read the Terms now. If the User is not willing to accept the Terms the User may not use the Logo.

LICENCE: SCQF hereby grants to the User a non-exclusive licence to use the Logo in accordance with the Terms. This licence shall be effective from the date on which SCQF approves [in writing] the draft materials to be submitted showing the User’s proposed use of the Logo, in accordance with the ‘MATERIALS’ clause set out below. This licence shall terminate at the end of the period of use set out in the attached form, unless this licence is otherwise terminated in accordance with the Terms.

The User is not permitted to assign, transfer, sub-licence, charge or otherwise enable usage of the Logo by or to any third party without the prior written consent of SCQF.

GENERAL CONDITIONS OF USE: The User undertakes to SCQF –

• to only use the Logo for the projects, programmes and initiatives specified in and notified to the User in writing by SCQF;
• to only use the Logo in accordance with the description of intended use and on the materials specified and notified to the User in writing by SCQF;
• to only use the Logo for the projects, programmes and initiatives specified in and notified to the User in writing by SCQF and not to use the Logo for any other projects, programmes or initiatives without SCQF’s prior written consent;
• not to make any representation or do any act which may be taken to indicate that the User has any right, title or interest in the Logo except as is set out in these Terms;
• not to use the Logo, or any part thereof, as part of the User’s name or identity nor to use any name or mark confusingly similar to the Logo or to otherwise use the Logo in a manner intended to link or associate the User or its products or services in any manner with SCQF;
• to comply with all applicable laws and regulations, in particular, all laws and regulations pertaining to proper protection, use and designation of trademarks in the UK and any countries in which the Logo is intended to be used;
• not to use the Logo to imply any relationship with, or endorsement or sponsorship by, SCQF that is not true. The user must not use the SCQF Logo in connection with any disparaging or negative statements about the SCQF Partnership or any of SCQF Partnership’s activities etc.

SPECIFIC LOGO USE; The User undertakes to SCQF –

• not to alter or modify the Logo in any way;
• to ensure that the Logo appears and is printed in its entirety, in the format, font, colour and size supplied by SCQF and is not combined with any other logo, graphic or text;
• to use the Logo in accordance with the Brand Guidelines supplied by SCQF;
• to ensure that the Logo is not used as a design element of any other logo or trademark;
• not to use the Logo in any manner that might in the reasonable opinion of SCQF disparage or injure the reputation of SCQF;
• not to use the Logo on any web site that is in violation of any applicable laws or governmental regulations.

TRADE MARK PROTECTION; The User undertakes to SCQF –

• to promptly notify SCQF of any actual, suspected or threatened infringement of the Logo coming to the User’s notice or attention anywhere in the world, or any conflicting third party claims in respect of the Logo, or any failure by any other licensee of the Logo to comply with the Terms;
• to provide SCQF with such information or other assistance as may be required by SCQF in enforcing SCQF’s rights in and to the Logo against any third party, at the cost and expense of SCQF;
• to permit SCQF or its authorised representative at all reasonable times and with prior appointment to enter the premises at which the Logo is used for the purposes of inspecting the User’s use of the Logo and ensuring compliance with the Terms.

MATERIALS: Upon submitting the attached form to SCQF, the User shall also submit to SCQF copies of all draft materials showing the User’s proposed use of the Logo, including all locations and forms of the User’s proposed use of the Logo. SCQF may, in its sole discretion, require the User to alter its proposed use of the Logo and User shall carry out any such alterations in the manner requested by SCQF before using the Logo.

LIABILITY AND INDEMNITY: SCQF shall, so far as is permitted by law, not be liable for any claims or liabilities arising as a result of the User’s use of the Logo. The User agrees and undertakes to indemnify SCQF and keep SCQF indemnified from and against any and all losses, liabilities, claims, costs, charges or expenses (including legal fees) of third parties that arise indirectly or directly out of the User’s breach of the Terms.

If the User is an SCQF Credit Rating Body which provides a third party credit rating service, the User must ensure that any submitting bodies making use of the Logo do so in accordance with these Terms and the User is liable for the acts or omissions of any such submitting body as if those were the User’s own acts or omissions under these Terms.

Licence Modification and Termination: SCQF reserves the right to terminate, revoke, modify or suspend the User’s licence to use the Logo, in whole or in part and at SCQF’s sole discretion at any time by giving such notice to the User as is reasonable in the circumstances.
If the User breaches any of the Terms, SCQF shall be entitled to terminate, revoke, modify or suspend the User’s licence to use the Logo by giving notice with immediate effect.

The User’s licence to use the Logo shall terminate automatically and without notice upon the User’s SCQF credit rating status being withdrawn or not renewed by SCQF, in accordance with the SCQF Handbook User Guide provided to the User by SCQF.

Upon termination of the User’s licence to use the Logo, the User must immediately cease to use all printed material containing the Logo and delete the Logo from their electronic display and submit a letter to SCQF confirming that this has been done.

GENERAL: These Terms together with the attached form constitute the entire agreement and understanding between SCQF and the User with respect to the Logo and supersede any agreement previously entered into between SCQF and the User.

Either party’s failure, delay or neglect to enforce any provision of these Terms shall not be deemed to be a waiver of that party’s rights under these Terms nor prejudice the party’s rights to take subsequent action.

Any variation to these Terms or the attached form shall only be effective if in writing and signed by both parties.

If any provision of these Terms is declared to be void or unenforceable by any judicial or administrative authority in any jurisdiction, such provision will be deemed to be severable and the parties shall each use their reasonable endeavours in good faith to modify this Licence so that the intent of this Licence can be legally carried out.

These Terms shall be governed by and construed in accordance with the Laws of Scotland and any disputes that may arise will be subject to the jurisdiction of the Scottish courts.

We hereby agree to comply with the above Conditions and Terms of Use:

Signed ..............................................................

For and on behalf of the User

Date ..............................................................

Please return to:
Samantha Houten Feeley
SCQF Partnership
39 St Vincent Place
Glasgow
G1 2ER

FOR OFFICE USE ONLY: APPLICATION TO USE THE SCQF LOGO

Date of application: ................................. Authorisation given: .................................

Application ref: ................................. Authorisation denied: .................................