

## INTRODUCTION

Once a centre is satisfied that learners have met the standards required, they may claim certificates using the IMI's online system which can be accessed via IMI Connect (full details on how to access is detailed in section 3.1).

The system also contains detailed instructions on how to use the online system to claim certificates.

Claims for certificates made online will be processed within 5 working days and certificates will be sent to the centre to then be distributed to the learner.

IMI Accreditation and IMI Accredited claims are the exception and will be processed within 10 working days, with IMI Accreditation certificates are issued directly to the accredited professional. IMI Accredited are sent to the centre to then be distributed to the learner.

The key to the IMI being able to meet these times is the validity of the claims. Claims for certificates may be invalid for several reasons. Examples include:

- the centre does not have direct claim status
- learners have not completed all the online assessments required
- rules of combination for regulated qualifications have not been met
- external quality assurance requirements have not been met.

*Note: Invalid claims for certification may be rejected and will have to be resubmitted once all the criteria have been met. If such claims give rise to concerns about the quality assurance within the centre, a malpractice/maladministration investigation may be instigated which could result in sanctions being placed on the centre (see Sanctions Policy).*

*\*\*\*Please note that this includes situations where actions have passed their agreed completion date with the result that DCS has been lost.*

## EQA SAMPLING

The External Quality Assurer (EQA) has a responsibility to sample learners' records to ensure that all requirements have been met, particularly the assessment process (see section 7.2). They also have to ensure that standards reached by learners are consistent across the IMI approved centre network.

If a centre does not have direct claim status, then the learners' assessment records must be authorised by the EQA before a claim for certification will be accepted. If the centre has got direct claim status for the qualification, then the EQA sampling can take place retrospectively.

*Note: Certificates will not be issued to centres without direct claim status until the EQA confirms that the standards required have been met and any related outstanding set actions have been completed.*

## CLAIMING CERTIFICATES WITH DIRECT CLAIM STATUS

Direct claim status is granted to centres once the centre has demonstrated the capability to deliver to the standards required consistently.

If a centre has been granted direct claim status, the Centre Coordinator (or other authorised personnel) may claim certificates for learners who have met the requirements without prior sampling by the IMI EQA.

However, the EQA will still need to sample the assessment records and work of some of the learners for whom certificates have been claimed. Sampling will take place during the first scheduled monitoring visit following the claim.

Full details of the EQA sampling process are contained in section 7.2 of this manual.

## CLAIMING CERTIFICATES WITHOUT DIRECT CLAIM STATUS

Where a centre does not have direct claim status, the Centre Coordinator must firstly submit the claim and then arrange for their EQA to validate the suitability for certification. Any claims submitted will be held in a waiting area and will only be processed once authorised by the EQA.

The Centre Coordinator should complete an 'external quality assurance sampling form for non-direct claim requests' and submit this via Centres Hub using an enquiry form, listing all the learners ready for certification. The enquiry form should also include a copy of the IQA records relating to the claim. Where certificates are for graded qualifications, the grading spreadsheet must also be attached.

*Note: If a centre fails to submit an enquiry form within 6 weeks from the date the claim was submitted, as detailed above, the claims will be rejected by the IMI and the centre will need to reclaim.*

*Note: Where a centre has lost direct claims status due to a related action being open outside the agreed timescale, the non-DCS process should not be used until the action has been closed. Any claim made via this process will be rejected until the EQA is satisfied that the action has been completed satisfactorily.'*

The EQA will confirm that the learners' work meets the standards required, record details and authorise the claim. The EQA may also consider granting direct claim when the requirements have been consistently met over a required period.

When a sample is requested, the assessment records and the work (e.g. portfolios) of all the learners listed on the form must be made available for the EQA.

*Note: If a centre fails to make available the work of any of the learners listed, then a certificate claim for those learners will be rejected.*

*Note: In some instances, an additional centre visit may be required for the sole purpose of sampling learners' work and the EQA will endeavour to accommodate additional visits provided enough notice is given. A charge will be made for such visits.*



If the EQA has concerns about the quality of the sample, they will discuss the issues raised with the Centre Coordinator and draw up an action plan to help the Centre Coordinator ensure the standards are met before the claim for certification can be accepted.

If a centre is not happy with the EQA's decision(s), then the Centre Coordinator (or other authorised centre personnel) may appeal against these findings in accordance with IMI's Appeals Policy.

Issue Number	Effective Date	Amendments	Reason for Amendments
12	20 Feb. 25	<ol style="list-style-type: none"> <li>1. Extra detail added around Non DCS change process</li> <li>2. Addition of IMI Accredited and update to terminology</li> </ol>	<ol style="list-style-type: none"> <li>1. To make Non DCS process requirements clearer for centres</li> <li>2. To ensure all product offers are covered</li> </ol>