

HOW-TO GUIDE

Using the recognition gateway

Applying for Ofqual recognition

The logo for Ofqual, featuring the word "ofqual" in a bold, lowercase, sans-serif font. The letters "o" and "q" are underlined with a thick orange line. The logo is positioned in the bottom left corner of the page, which is set against a dark blue triangular background that extends from the bottom left towards the center of the page.

ofqual

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Introduction

Welcome to the recognition gateway for awarding organisations that want to apply to be recognised by Ofqual. The gateway is an online system that enables you to communicate with us directly and seek information about what it means, and involves, to be recognised and regulated by Ofqual. You can use the gateway to arrange an initial meeting with us to discuss the recognition process. If you decide to apply, you will complete and submit your application and supporting documents to us via the gateway.

Through the gateway you will be able to:

- manage key information that we hold about you and your organisation
- arrange a meeting with us to find out what the recognition process involves
- apply for recognition
- respond to requests from Ofqual to provide more information to support your application
- track the progress of your application
- be informed of the outcome of your application and our decision on whether to recognise you as an awarding organisation

You will receive an email notification to your registered email account from the gateway each time we send you a communication which will prompt you to log in.

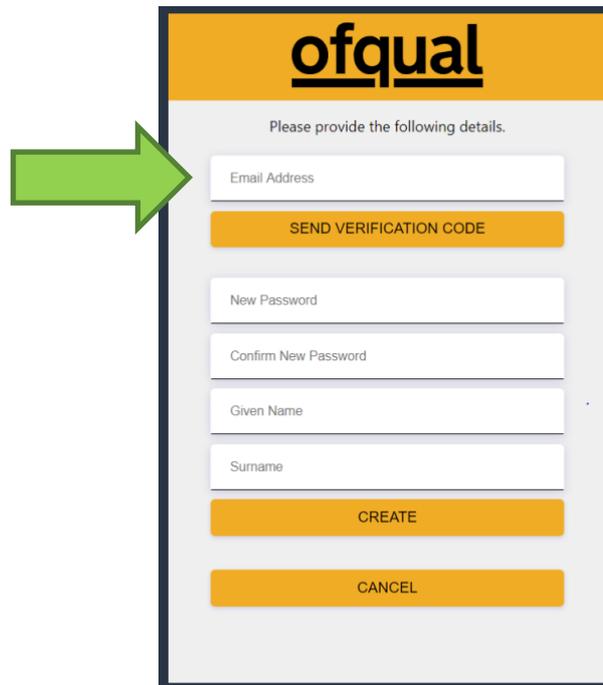
If you wish to offer regulated qualifications in Wales or Northern Ireland, you will need to apply to the qualifications regulator in Wales - [Qualifications Wales](#) or the qualifications regulator in Northern Ireland – [The Council for the Curriculum, Examinations and Assessment](#).

Gateway best practice

1. Only one person can set up an account in the recognition gateway on behalf of your organisation.
2. Your recognition gateway account is linked to an email address of your choosing. Please ensure that you have access to this email address for the duration of the application process. Otherwise you will not be able to verify your identity, retrieve email notifications and log into your recognition gateway account.
3. For security, you will be required to set up multi-factor authentication (MFA) as part of creating an account in the recognition gateway. This is linked to a telephone number. Again, please ensure that you will have access to this device for the duration of the application process. We recommend linking your mobile telephone number so you can retrieve the security code when accessing your gateway account remotely.
4. If Ofqual decides to recognise your awarding organisation, the recognition gateway account holder will be automatically set up in the Portal (Ofqual's regulatory IT system) as a Global Admin. This means they are responsible for setting up user accounts, assigning access permissions and general housekeeping activities associated with your user accounts.
5. You do not need to complete your application in one sitting as you can save your progress and return to it, at a later date, before submitting it to Ofqual. Please note that after 30 minutes of inactivity, for security reasons your session will time out and your progress will not be saved unless you have clicked 'save' at the bottom of each page. We recommend that you:
 - prepare your answers to the questions in a separate document and then copy and paste them into the application form when you are ready
 - regularly click 'save' while completing your application
 - start a fresh browser session after saving progress to upload documents
 - ensure that the documents you upload as supporting evidence with your application form are titled correctly – there is no limit to the size of files you can upload with your application
 - do not upload zip files – we cannot accept these due to security concerns

Registration

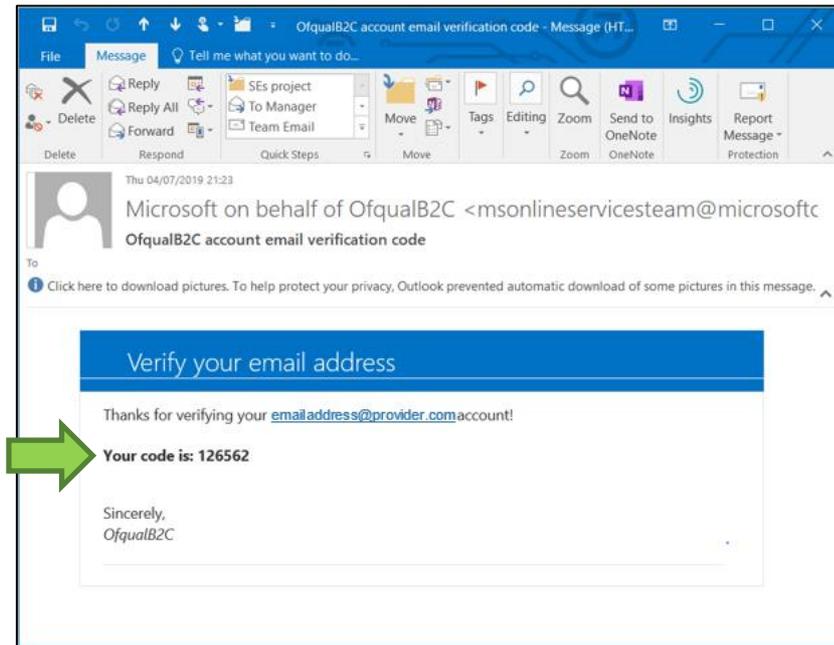
1. To register for a gateway account, open a new browser (we recommend using Google Chrome or Microsoft Edge. Browsers like Internet Explorer are not fully compatible with our service and are not secure). We recommend that you [use a dedicated browser profile](#) so that it doesn't clash with any other Microsoft 365 accounts you already have saved on your device.
2. You can [start your application on the Recognition Gateway](#).
3. You will be presented with the following screen and be required to enter your email address and click 'send verification code' to confirm that you have access to the specified email account. You do not need to fill in the other parts of the form at this stage:



The screenshot shows a registration form for 'ofqual'. The form is titled 'Please provide the following details.' and contains the following fields and buttons:

- Email Address**: A text input field with a green arrow pointing to it.
- SEND VERIFICATION CODE**: An orange button.
- New Password**: A text input field.
- Confirm New Password**: A text input field.
- Given Name**: A text input field.
- Surname**: A text input field.
- CREATE**: An orange button.
- CANCEL**: An orange button.

4. You will receive an email from Microsoft which will contain a 6-digit verification code:



5. Enter this verification into the field that is displayed on screen and select 'verify code':

The verification code will be valid for 5 minutes. If you require a new code then please select 'send new code' to generate a new one.

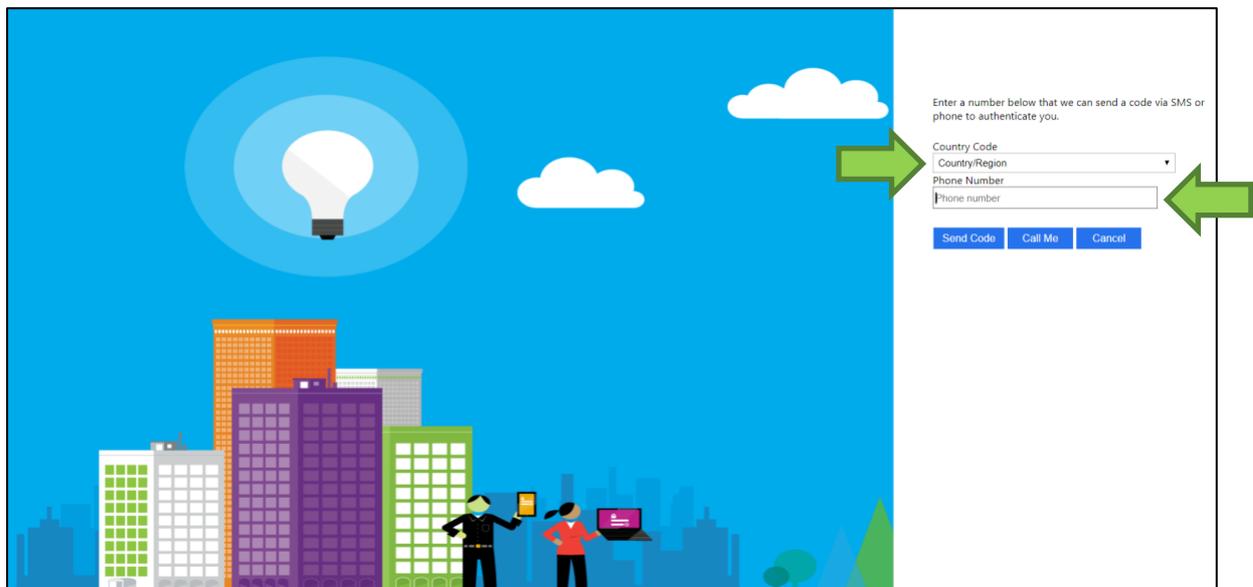
6. Enter the information required in the other fields; 'new password', 'confirm new password', 'given name' and 'surname'. Then select 'create'.

Multi-factor authentication

To create your account, you will be required to set up multi-factor authentication (MFA). It is an additional security measure that verifies your identity by requiring multiple credentials before access is authorised. You might use MFA on other GOV.UK services, when requesting services from your GP, for online banking, or when accessing some social media applications.

You will need to verify your identity through MFA to access the gateway and to keep your data secure. We recommend that you use your mobile phone to receive a text message or call when setting-up MFA so you can access your account from any location. The mobile does not need to be a smart phone device and could be your work or personal mobile number. The phone number you provide will only be used by Microsoft to verify your security information and not for any other purpose.

To set up MFA, select your country or region from the drop-down list and then enter your telephone number. You can opt to either have a code sent to you by text, or receive a call and press the # key after listening to an automated message from Microsoft:



Enter a number below that we can send a code via SMS or phone to authenticate you.

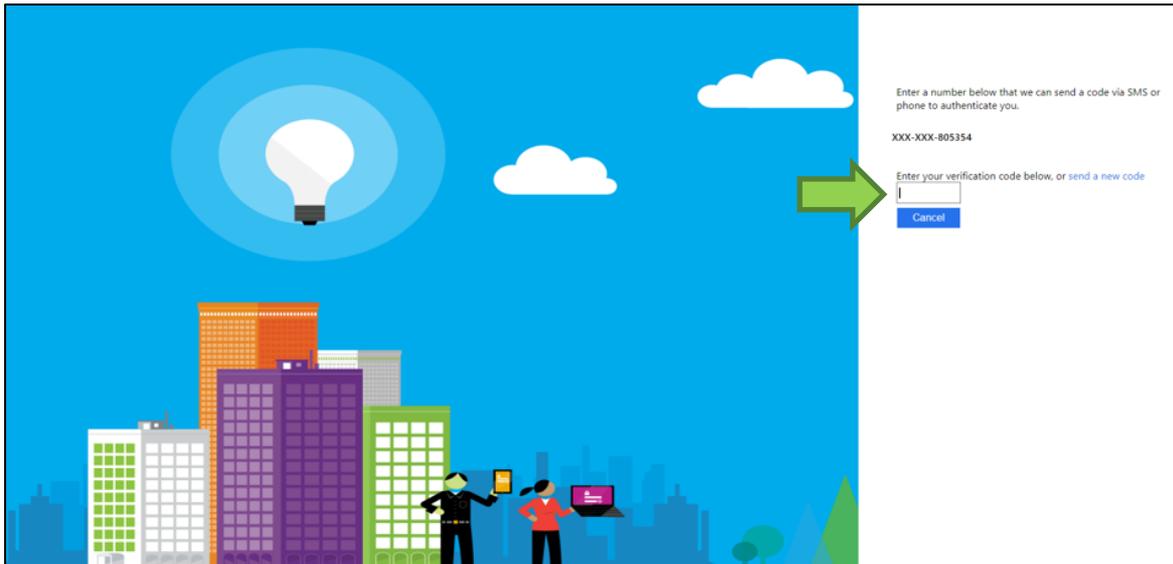
Country Code

Country/Region

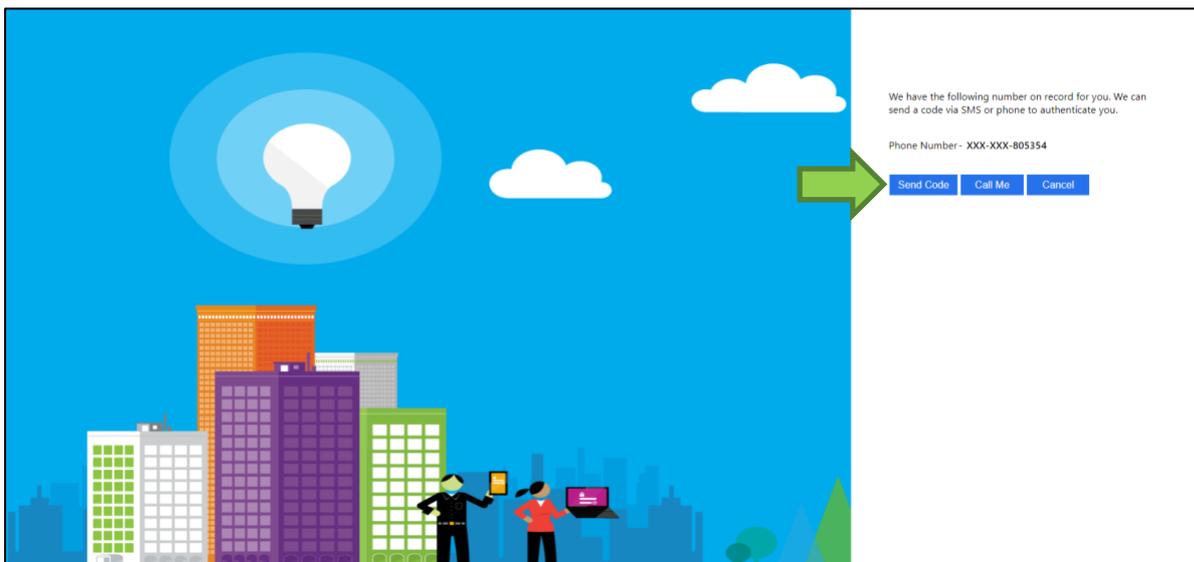
Phone Number

Phone number

If you opt to receive the code via text, you will be prompted to enter it on screen:



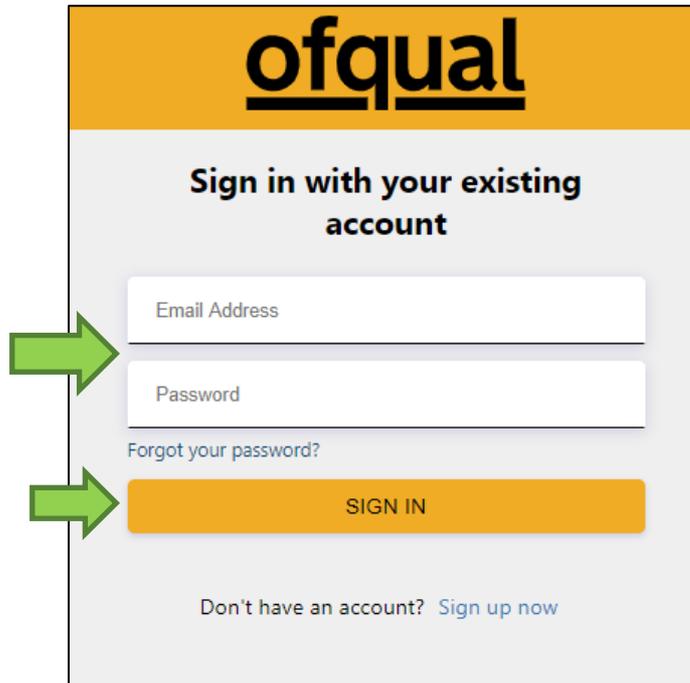
Microsoft will save your telephone number with your gateway account so you don't re-enter it each time you log in. Please [submit a request to Portal Support if you need to change the number linked to your MFA](#), for example, if you no longer have access to the device.



Once you have set up MFA you can then log into the gateway.

Log in

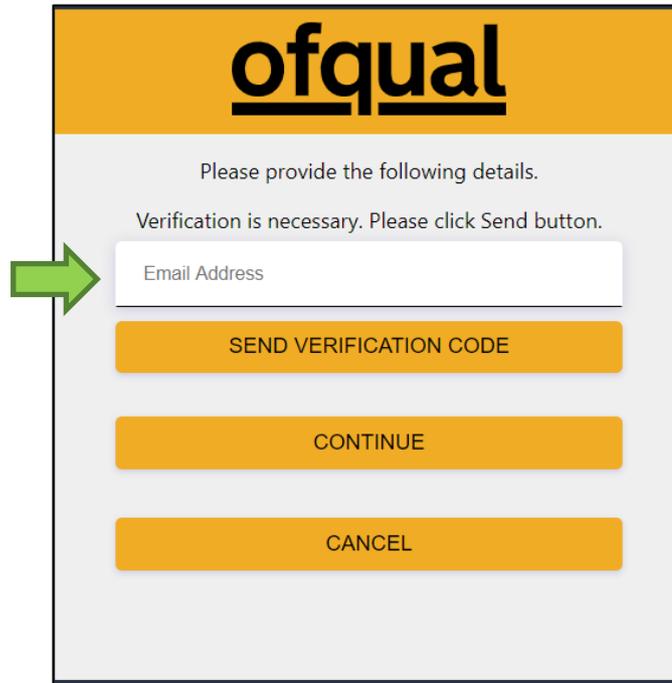
To log into your account, open a new browser (preferably Google Chrome) and [visit the Gateway login page](#). You will be required to enter your email address and password and select 'sign in':



The image shows a screenshot of the 'ofqual' login page. At the top, the 'ofqual' logo is displayed in a bold, black, sans-serif font against an orange background. Below the logo, the text 'Sign in with your existing account' is centered in a bold, black font. The login form consists of two white input fields: 'Email Address' and 'Password'. A green arrow points to the 'Email Address' field. Below the 'Password' field, there is a link that says 'Forgot your password?'. At the bottom of the form is a large orange button with the text 'SIGN IN' in white, uppercase letters. A second green arrow points to this button. Below the button, there is a link that says 'Don't have an account? Sign up now'.

Change your password

To reset your password, click the 'Forgotten your password?' hyperlink underneath the password input text box which will redirect you to the following screen where you will be prompted to enter your email address:



ofqual

Please provide the following details.

Verification is necessary. Please click Send button.

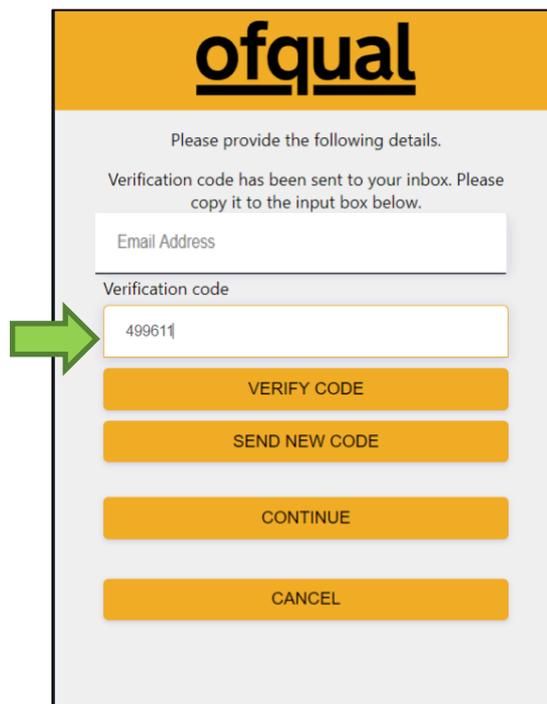
Email Address

SEND VERIFICATION CODE

CONTINUE

CANCEL

After clicking 'send verification code' you will be sent an email containing a 6-digit code which you will need to enter on screen and select 'verify code':



ofqual

Please provide the following details.

Verification code has been sent to your inbox. Please copy it to the input box below.

Email Address

Verification code

499611

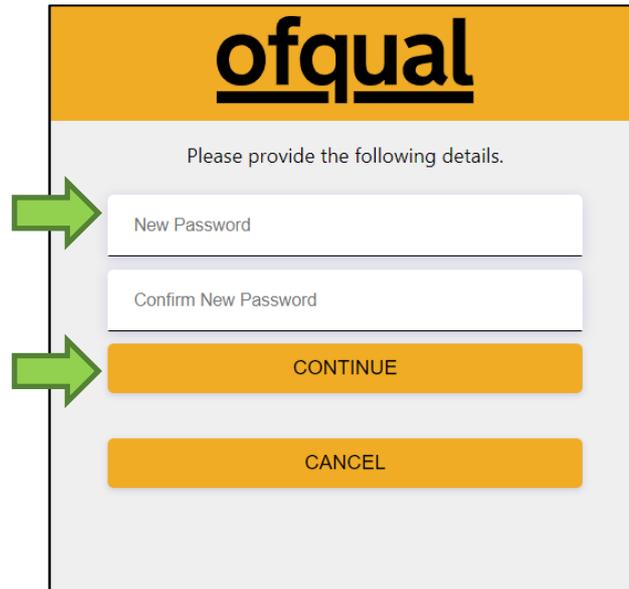
VERIFY CODE

SEND NEW CODE

CONTINUE

CANCEL

You will then be able to set a new password for your account on the next screen:

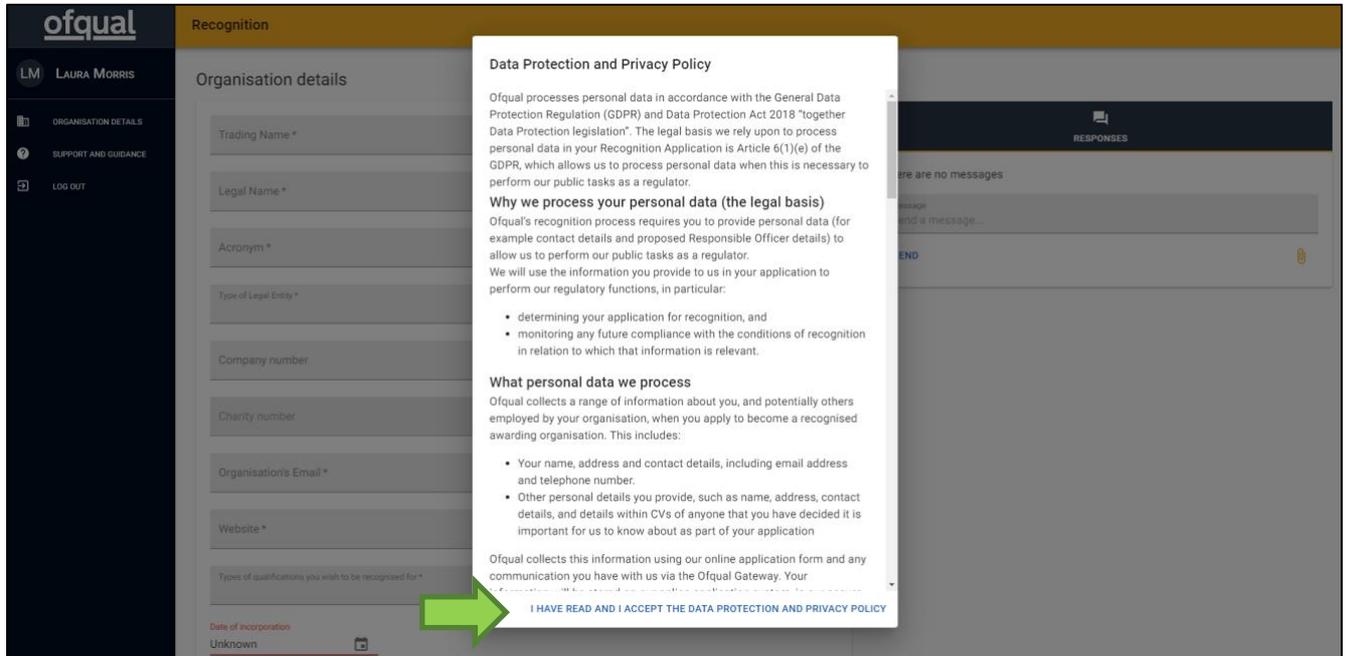


The screenshot shows a mobile application interface for 'ofqual'. At the top is an orange header with the 'ofqual' logo in black. Below the header, the text 'Please provide the following details.' is centered. There are two white input fields: the first is labeled 'New Password' and the second is labeled 'Confirm New Password'. Below these fields are two orange buttons: 'CONTINUE' and 'CANCEL'. Two green arrows point to the left side of the 'New Password' and 'Confirm New Password' fields, indicating where to enter the password.

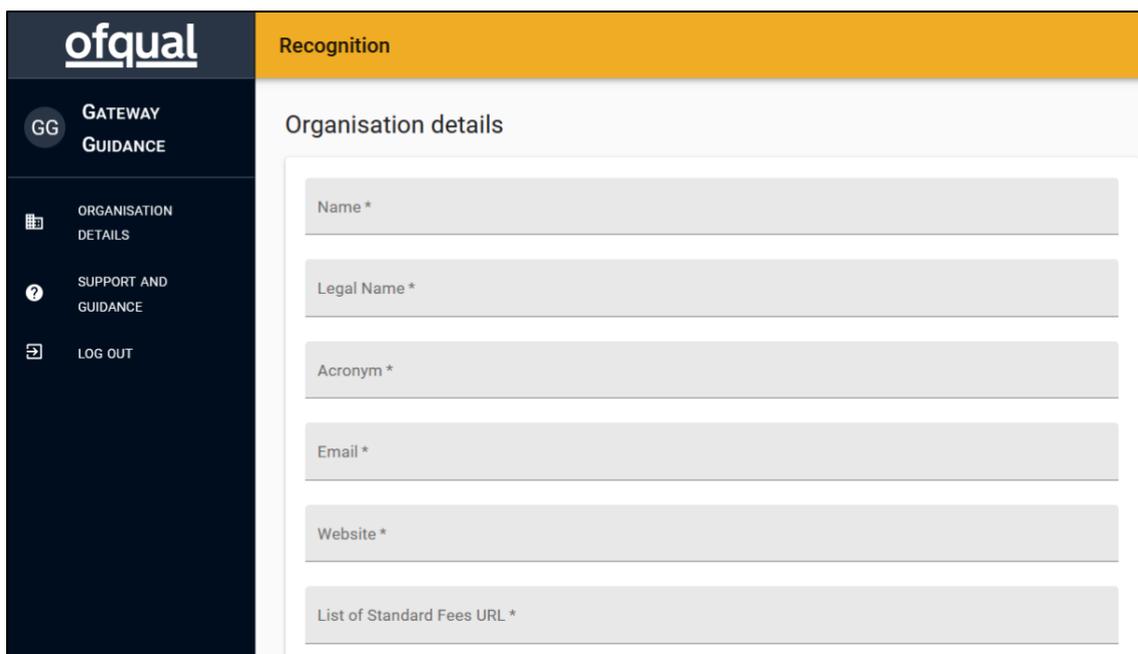
You will be prompted to log in with your email address and password to access your recognition gateway account.

Organisation details

You will be required to read and accept the information displayed in a pop-up window. This contains the data protection and privacy statement and some information on the types of cookies the recognition gateway uses. Select the 'I have read and accept the data protection and privacy policy' button to proceed:



You will be required to enter details about your organisation:



Please note: this information will pre-populate some information on your application form so please ensure it is accurate. You can amend your details later should you need to, but not whilst an application is under review by Ofqual.

Legal name

This is the name of your organisation and not the person completing the form.

Acronym

This refers to a shortened version of your organisation name that would generally appear on certificates. If you would not like this to be shortened, and rather it matches your trading or legal name please enter the organisation's full name in this field. Do not leave this field blank or fill it with 'N/A'.

Please ensure that the acronym you select is not currently used as this will cause confusion due to similarities with [other organisations we regulate](#).

List of Standard Fees URL

This information is mandatory. Please provide a website address for where your standard list of qualification fees is publicly available. If you have not yet published this information, please enter your website home page address or if you don't have a website, please enter 'N/A'.

When entering information about your organisation as a legal entity, you can select all that apply by selecting 'yes' to those relevant. When selecting 'Yes' you will find that the proceeding field will require further information as it is mandatory.

If you have a registered Companies House number you will need to enter all eight digits including any zeros at the beginning.

Is the organisation registered with Companies House in the UK? *

Yes No

Registered company number *

Is the organisation registered with The Charity Commission in England and Wales? *

Yes No

Registered charity number *

Is the organisation another kind of legal entity in the UK, such as a public body or further/higher education institution?

Yes No

Other legal entity type *

Is the organisation registered in another country?

Yes No

Main country of registration *

Registration number in that country *

Is the organisation an individual (sole trader) or a partnership (not including Limited Liability Partnerships)?

Yes No

Are you intending to, or do they already deliver, apprenticeship end point assessments? *

Yes No

Date of incorporation
Unknown 

You will be required to add the address and telephone number of your organisation:

Organisations Address

Line 1 *

Line 2

Line 3

Town/City *

Postcode *

Country *

Phone Number *

The information you enter as part of the registration process will automatically transfer to the relevant fields in the 'Contact details' section. You can then add your title, phone number and the (proposed) role you hold within your organisation. Click 'Save' upon completion.

Please ensure that the auto-fill feature of your browser has not filled in any fields incorrectly. Your details cannot be amended once your application has been submitted. If you submit your application and these fields are incorrect, you will be asked to withdraw your application. You will then need to resubmit it having made these amendments. Please ensure all contact details and organisation details are correct before you submit.

Contact details

Title *
Miss

First Name *
Laura

Surname *
Morris

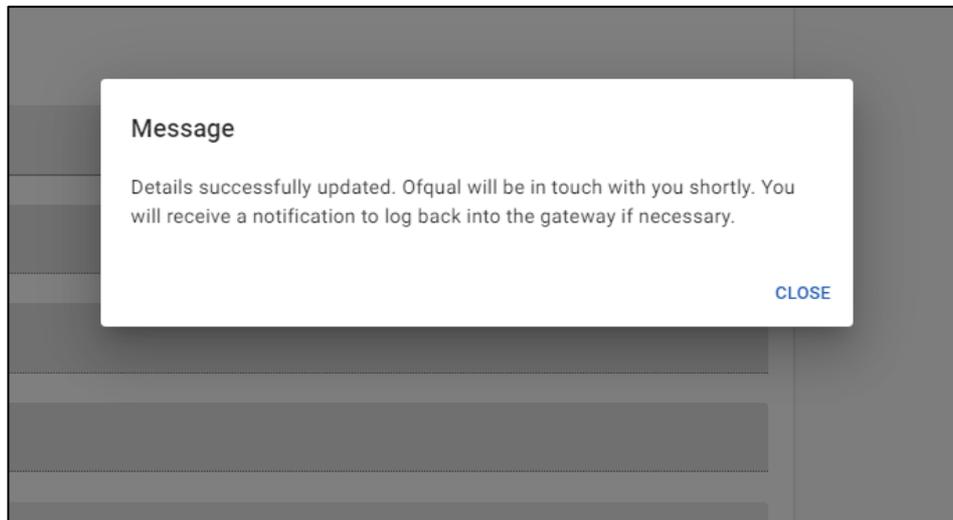
Email *
laura.morris@ofqual.gov.uk

Phone Number *

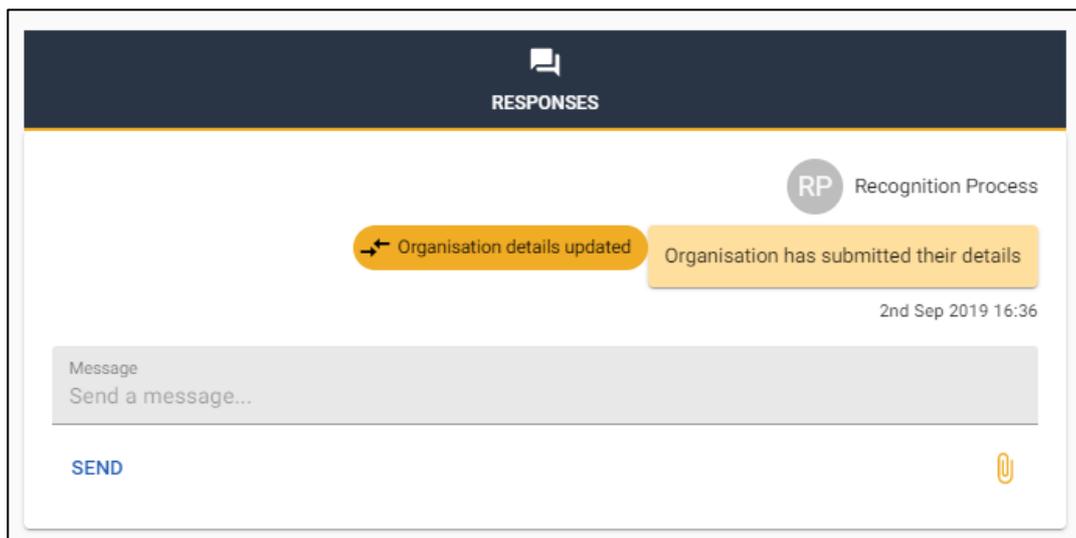
(Proposed) Role in Organisation *

 **SAVE**

Upon clicking save, your information will be validated, and you will receive a pop-up notification showing your registration was successful. Select 'close' to remove the message:

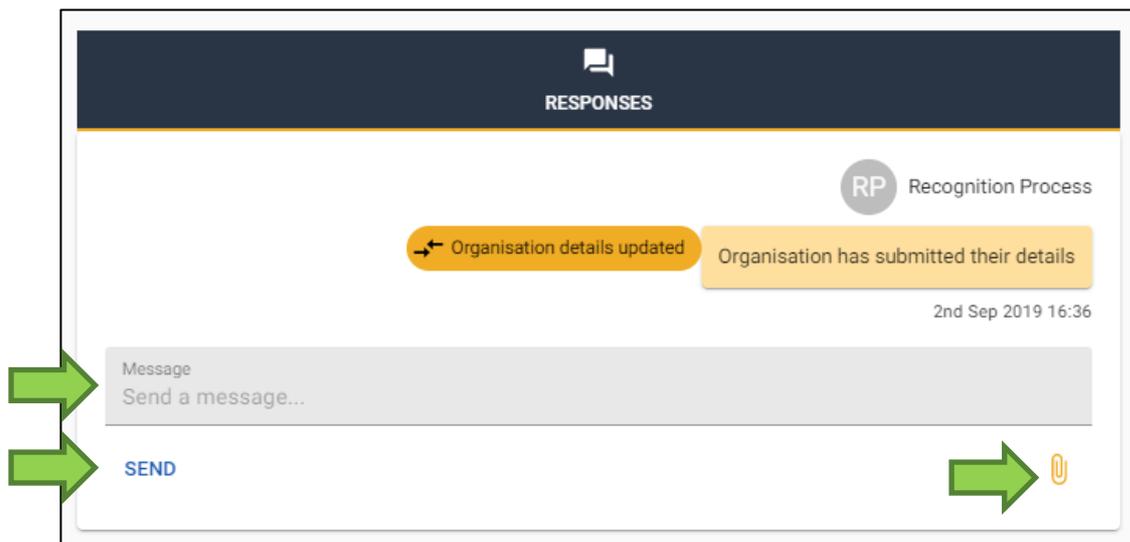


The updated status will be displayed in the 'Responses' area, to the top-right of your screen and will be date and time stamped:



Responses

You can send and respond to communications from Ofqual using the 'Responses' area located at the top-right of the screen – enter your message and click 'send'. Ofqual will use the 'Responses' area to communicate queries about your application, organise meetings and update you on the progress of your application. You can upload documents by clicking the paperclip icon, selecting the required document and clicking 'send'. Each communication is date and time stamped:



Once you have submitted your details, we will contact you via the 'Responses' area to arrange a meeting to discuss with you what it means to be regulated by Ofqual and what your future plans are. We may ask you to complete a questionnaire and return it to us via the 'Responses' area before this meeting so we can understand some further information about your organisation and the types of qualifications you want to have regulated by Ofqual..

Email notifications

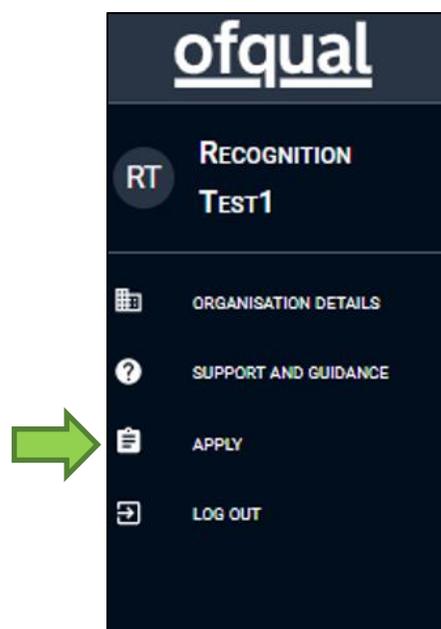
An email notification will be generated to alert you when Ofqual has sent you a communication in the 'Responses' area, and when an action or update has happened on your application – for example, to inform you of the outcome of your application for recognition. Email notifications will be sent to the email address you provided as part of your registration.

Apply

Following a meeting with Ofqual, you will need to inform us if you wish to proceed with your application for recognition. An email notification will prompt you to log into your gateway account when the application form has been released. The status will update in the 'Responses' area and is date and time stamped:



Once released, the application form can be accessed from the navigation pane to the left-hand side of the screen:



Introduction

At the start of your application you will be required to confirm that the information you submit to us is accurate and that you have read and accepted the privacy statement. To agree to those terms, select the check box and then select 'save and continue'.

Recognition

1. Introduction

Accuracy of the information you provide

We are required under [Section 148](#) of the [Apprenticeships, Skills, Children and Learning Act 2009](#) to publish a Register of regulated qualifications. We publish a Register containing the details of awarding organisations and regulated qualifications.

The details of an awarding organisation will include:

- the qualifications in respect of which it is recognised
- the details of those qualifications which are awarded or authenticated by it
- the awarding organisation's organisation name, legal name, abbreviation/acronym, email address, website and trading address.

Applicants must make sure all details provided in this application are accurate and current, as this information will be published on the register should we grant recognition.

We will complete a due diligence check through an external business information supplier to verify information you have submitted as part of your application.

If there are any changes to the information or a change in circumstances during the period between submitting the application and us telling you of our decision (for example, a change in the senior management team) you must notify us in writing. Please email any changes to: recognition@ofqual.gov.uk

You can withdraw your application at any time before it is granted or returned. Please email your request to withdraw your application to recognition@ofqual.gov.uk

Saving your progress

You can save your progress and come back to complete your application later. The application will save all details up to the last page you have completed (it won't save the page you're currently on, so click 'Next' if you need to save details on the current page).

Throughout this application form, all questions with an asterisk * must be answered.

Privacy Policy

I confirm that I have read and I accept the privacy statement.*

I confirm the above statement

SAVE AND CONTINUE

You can save your progress and continue with your application at any point by clicking '**Save and continue**' at the bottom of any page of the application form. We recommend that you save your progress regularly and at least every 30 minutes. You can return to the previous pages of the application form by selecting the 'previous' button.

What do you want to be recognised by Ofqual for?

The screenshot shows the Ofqual Recognition Test 1 interface. On the left is a dark navigation sidebar with the 'ofqual' logo at the top. Below the logo are four menu items: 'RT RECOGNITION TEST 1' (highlighted), 'ORGANISATION DETAILS', 'SUPPORT AND GUIDANCE', 'APPLY', and 'LOG OUT'. The main content area has an orange header with the word 'Recognition'. Below this, the question '2. What do you want to be recognised by Ofqual for?' is displayed. Underneath is the section 'Type of Qualifications'. A note states: 'Documentation regarding SSAs can be found [here](#).' There are two large text input areas. The first is for providing details of qualifications, EPAs, or descriptions, with a character count of '499 words / 3000 characters'. Below this, there are three lines of text: 'You are applying to Ofqual to be recognised to offer qualifications in England.', 'To offer qualifications regulated by Qualifications Wales, you must apply to [Qualifications Wales](#).', and 'To offer qualifications regulated by CCEA Regulation in Northern Ireland, you must apply to [CCEA Regulator](#).' The second text input area is for explaining why you want to be recognised, also with a character count of '499 words / 3000 characters'.

Type of qualifications

Please consider the type of qualifications you are applying for recognition for. If you are interested in apprenticeship end-point assessments (EPAs), please list each apprenticeship standard you want to offer.

There are 3 qualification types. These are:

1. Qualifications subject only to the 'General Conditions of Recognition'. These will be defined by the level and sector subject area you assign to them.
2. Qualifications which must comply with additional regulatory requirements. These are allocated a formal 'type', for example GCSE (9 to 1), EPA, or advanced extension award.
3. Qualifications that are defined by a description. These are bespoke to each organisation and do not fit into the above types.

If you are applying for a qualification subject only to the General Conditions of Recognition, please select 'other'.

Please read [Ofqual's rules](#) for the different qualifications that are regulated to determine what you are applying for.

Contact details

This section is prepopulated using the information that was entered from when you created your recognition gateway account. Should you need to edit this information, select the 'Organisation Details' page on the navigation pane to the left of the screen.

3. Contact details

These details can be changed in the [Organisation Details](#) page.

Title*	Mr
First Name*	Recognition
Last Name*	Test1
Email*	recognitiontest1@gmail.com
Phone Number*	0123456789
(Proposed) Role in Organisation*	Applicant
Organisation's Email*	RTE@RTE.org
Website*	rte.org
Trading address line 1*	Example of the first line of the address
Trading address line 2	
Trading address line 3	
Trading address town/city*	Testington
Country*	United Kingdom
Post Code*	T3 5TS
Telephone Number*	0123456789

PREVIOUS

SAVE AND CONTINUE

Legal entity

This part of the application form is pre-populated using the information you provided when you created your recognition gateway account. Should you need to amend any of the details entered please do so by returning to the 'Organisation Details' page.

The screenshot shows the 'ofqual' logo in the top left corner. The main header is 'Recognition'. A dark blue sidebar on the left contains navigation links: 'GG GATEWAY GUIDANCE', 'ORGANISATION DETAILS', 'SUPPORT AND GUIDANCE', 'APPLY', and 'LOG OUT'. The main content area is titled '4. Legal entity' and includes a note: 'These details can be changed in the [Organisation Details](#) page.' Below this are three input fields: 'Name of organisation *' with 'Guidance example', 'Legal name (if different) *' with 'Guidance example', and 'Abbreviation or acronym - please check this is not the same or similar to one on our Register of Regulated Qualifications *' with 'GE'. The next section is '5. Company Number/Charity Number' with two input fields: 'Company number' with '0000' and 'Charities commission registration number (where applicable)' with '1111'. The final section is '6. Date of incorporation' with the date '30/03/21'. At the bottom are two buttons: 'PREVIOUS' and 'SAVE AND CONTINUE'.

ofqual

Recognition

4. Legal entity

These details can be changed in the [Organisation Details](#) page.

Name of organisation *
Guidance example

Legal name (if different) *
Guidance example

Abbreviation or acronym - please check this is not the same or similar to one on our Register of Regulated Qualifications *
GE

5. Company Number/Charity Number

Company number
0000

Charities commission registration number (where applicable)
1111

6. Date of incorporation

30/03/21

PREVIOUS SAVE AND CONTINUE

Company number or charity number

As before, this part of the application form is pre-populated using the information you provided when you created your recognition gateway account:



5. Company Number/Charity Number

Company number
01234

Charities commission registration number (where applicable)
98765

If you select 'yes' to your organisation being another kind of legal entity in the UK, you will be prompted to select an option in the preceding field – 'Further or Higher Education Institution' or 'Public Body':



Is the organisation another kind of legal entity in the UK, such as a public body or further/higher education institution?

Yes No

Further or Higher Education Institution

Public body

If you are registered in another country please select 'yes' and you will be required to select from a list, the main country of registration and then enter the registration number your organisation holds in that country:

Is the organisation registered in another country?

Yes No

Main country of registration *

Registration number in that country *

You will be required to indicate whether your organisation is a sole trader or partnership and whether you are intending to, or already deliver apprenticeship end-point assessments:

Is the organisation an individual (sole trader) or a partnership (not including Limited Liability Partnerships)?

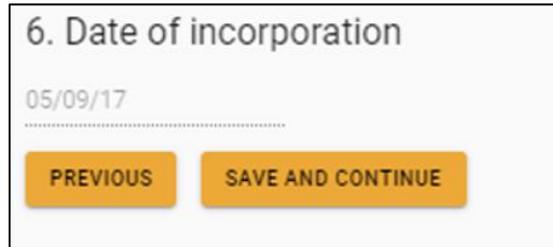
Yes No

Are you intending to, or do they already deliver, apprenticeship end point assessments? *

Yes No

Date of incorporation

Please note that this should be either the date of when you registered with [Companies House](#) (if that applies) or the date your company was formed. Select 'save and continue' to proceed with your application.



6. Date of incorporation

05/09/17

.....

PREVIOUS SAVE AND CONTINUE

The screenshot shows a web form titled "6. Date of incorporation". The date "05/09/17" is entered in a text field. Below the text field is a dotted line indicating a separator. At the bottom of the form, there are two orange buttons: "PREVIOUS" on the left and "SAVE AND CONTINUE" on the right.

Criteria A: Identity, constitution and governance

Please provide a brief summary of how you believe you meet each criterion and provide a well referenced list of the documents where the evidence to support this can be found. There is a 499 word or 3000 character limit on each of these free text input fields so please summarise.

A.4 Organisation and governance

The applicant is organised and governed in such a way that will provide appropriate support for its activities as a recognised awarding organisation.

Please summarise how you meet Criterion A.4 and list the documents that support this:

The screenshot shows the 'ofqual' logo in the top left corner. Below it is a navigation menu with the following items: 'RT RECOGNITION TEST 1', 'ORGANISATION DETAILS', 'SUPPORT AND GUIDANCE', 'APPLY', and 'LOG OUT'. The main content area is titled 'Recognition' and contains the following text: '7. Criteria A: Identity, constitution and governance', 'A.4 Organisation and governance', and 'A.4 The Applicant is organised and governed in such a way that will provide appropriate support for its activities as a recognised awarding organisation. The [supporting information document](#) document explains the type of information we expect to see in your response as to how you meet criterion A.4.' Below this text is a large grey text input field with the placeholder text 'Please explain how you meet Criterion A.4 and list the documents that support this. *'. At the bottom left of the input field, there is a character count: '499 words / 3000 characters'.

A.5 Conflicts of Interest

The Applicant has in place appropriate arrangements to secure that it will be able to –

(a) identify and monitor any Conflict of Interest which exists in relation to it, and

(b) manage any Conflict of Interest which relates to it, to ensure that the Conflict of Interest does not give rise to prejudice to Learners or potential Learners or adversely affect –

- the ability of the Applicant to undertake the development, delivery or award of qualifications in accordance with its Conditions of Recognition,
- the standards of qualifications which the Applicant may make available as a recognised awarding organisation, or
- public confidence in qualifications.

Please summarise how you meet Criterion A.5 and list the documents that support this:

A.5 Conflicts of Interest

A.5 The Applicant has in place appropriate arrangements to secure that it will be able to:

- identify and monitor any Conflict of Interest* which exists in relation to it manage any Conflict of Interest which relates to it,
- to ensure that the Conflict of Interest does not give rise to prejudice to Learners or potential Learners or adversely affect:
 - the ability of the Applicant to undertake the development, delivery or award of qualifications in accordance with Conditions of Recognition
 - the standards of qualifications which the Applicant may make available as a recognised awarding organisation, or
 - public confidence in qualifications.

The [supporting information document](#) explains the type of information we expect to see in your response as to how you meet criterion A.5.

* A Conflict of Interest exists in relation to an Applicant where –

(A) its interests in any activity undertaken by it, on its behalf, or by a member of its Group have the potential to lead it to act contrary to its interests in the development, delivery and award of qualifications in accordance with its Conditions of Recognition,

(B) a person who is connected to the development, delivery or award of qualifications by the Applicant has interests in any other activity which have the potential to lead that person to act contrary to his or her interests in that development, delivery or award in accordance with the Applicant's Conditions of Recognition, or

(C) an informed and reasonable observer would conclude that either of these situations was the case.

Please explain how you meet Criterion A.5 and list the documents that support this. *

499 words / 3000 characters

A.6 Governing Body oversight

Where the Applicant is not an individual, it has in place appropriate arrangements to ensure that its Governing Body will have continuing oversight of, and be directly accountable for –

- (a) the performance of its activities as a recognised awarding organisation, and
- (b) its compliance with its Conditions of Recognition.

Please summarise how you meet Criterion A.6 and list the documents that support this:

A.6 Governing Body oversight

Where the Applicant is not an individual, it has in place appropriate arrangements to ensure that its Governing Body will have continuing oversight of, and be directly accountable for:

- the performance of its activities as a recognised awarding organisation, and
- its compliance with its Conditions of Recognition.

The [supporting information document](#) explains the type of information we expect to see in your response as to how you meet criterion A.6.

Please explain how you meet Criterion A.6 and list the documents that support this. *

499 words / 3000 characters

[PREVIOUS](#) [SAVE AND CONTINUE](#)

Criteria B: Integrity

Please note: Where you identify relevant matters relating to the applicant organisation or a senior officer please ensure you provide evidence of how you will manage and mitigate the risks.

B.1 Integrity of the Applicant

The Applicant must be a suitable person to be recognised for the award of the relevant qualifications, having regard in particular to

(a) any criminal convictions held by it,

(b) any finding by a court or any professional, regulatory, or government body that it has been in breach of any provision of Competition Law, Equalities Law, or Data Protection Law,

(c) any finding by a court or any professional, regulatory, or government body that it has been in breach of a provision of any legislation or any regulatory obligation to which it is subject, and

(d) any instance of insolvency or corporate financial restructuring to which it is or has been subject

Please select an option below*

- On behalf of the Applicant I declare that I have made diligent enquiry, including having had regard to the matters specified in this criterion, and have identified no concerns relating to the integrity of the Applicant. I am aware that Ofqual may conduct its own enquiries in this regard and should it discover I have provided false information this may cause it to reject the application for recognition or, should such information be discovered following recognition, to take enforcement action.

- Having made diligent enquiry, I have identified matters likely to be of concern in respect of the integrity of the applicant and I provide full details of those concerns and an explanation how the attendant risks will be mitigated with the application.

The screenshot shows the 'ofqual' logo in the top left corner. Below it is a navigation menu with 'RT RECOGNITION TEST1' selected. The main content area is titled 'Recognition' and contains the following text:

8. Criteria B: Integrity

B.1 Integrity of the applicant

The Applicant must be a suitable person to be recognised for the award of the relevant qualifications, having regard in particular to:

- (A) Any criminal convictions held by it,
- (B) Any finding by a court or any professional, regulatory, or government body that it has been in breach of any provision of Competition Law, Equalities Law, or Data Protection Law,
- (C) Any finding by a court or any professional, regulatory, or government body that it has been in breach of a provision of any legislation or any regulatory obligation to which it is subject, and
- (D) Any instance of insolvency or corporate financial restructuring to which it is or has been subject.

Please select an option below *

On behalf of the Applicant I declare that I have made diligent enquiry, including having had regard to the matters specified in this criterion, and have identified no concerns relating to the integrity of the Applicant. I am aware that Ofqual may conduct its own enquiries in this regard and should it discover I have provided false information this may cause it to reject the application for recognition or, should such information be discovered following recognition, to take enforcement action.

Having made diligent enquiry, I have identified matters likely to be of concern in respect of the integrity of the applicant and I provide full details of those concerns and an explanation how the attendant risks will be mitigated with the application.

B.2 Integrity of Senior Officers

Each of the Senior Officers of the Applicant must be a suitable person to be engaged in that role in an awarding organisation that is recognised for the award of the relevant qualifications, having regard in particular to –

- (a) any criminal convictions held by him or her,
- (b) any finding by a court or any professional, regulatory, or government body that he or she has breached a provision of any legislation or any regulatory obligation to which he or she is subject,
- (c) any instance of bankruptcy or any individual financial arrangements to which he or she is or has been subject,
- (d) any occasion on which he or she has been disqualified from holding the directorship of a company or from public office, and
- (e) any finding of malpractice or maladministration, in relation to a qualification (whether a regulated qualification or a qualification which is not regulated), to which he or she is or has been subject.

Please select an option below*

- On behalf of the Applicant I declare that I have made diligent enquiry, including having had regard to the matters specified in this criterion, and have identified no concerns relating to the integrity of the proposed Senior Officers. I am aware that Ofqual may conduct its own enquiries in this regard and should it discover I have provided false information this may cause it to reject the application for recognition or, should such information be discovered following recognition, to take enforcement action.
- Having made diligent enquiry, I have identified matters likely to be of concern in respect of the integrity of one or more of the Senior Officers and I provide full details of those concerns and an explanation how the attendant risks will be mitigated with the application

B.2 Integrity of Senior Officers

Each of the Senior Officers of the Applicant must be a suitable person to be engaged in that role in an awarding organisation that is recognised for the award of the relevant qualifications, having regard in particular to:

(A) Any criminal convictions held by him or her,
(B) Any finding by a court or any professional, regulatory, or government body that he or she has breached a provision of any legislation or any regulatory obligation to which he or she is subject,
(C) Any instance of bankruptcy or any individual financial arrangements to which he or she is or has been subject,
(D) Any occasion on which he or she has been disqualified from holding the directorship of a company or from public office, and
(E) Any finding of malpractice or maladministration, in relation to a qualification (whether a regulated qualification or a qualification which is not regulated), to which he or she is or has been subject.¹

Please select an option below *

On behalf of the Applicant I declare that I have made diligent enquiry, including having had regard to the matters specified in this criterion, and have identified no concerns relating to the integrity of the proposed Senior Officers. I am aware that Ofqual may conduct its own enquiries in this regard and should it discover I have provided false information this may cause it to reject the application for recognition or, should such information be discovered following recognition, to take enforcement action.

Having made diligent enquiry, I have identified matters likely to be of concern in respect of the integrity of one or more of the proposed Senior Officers and I provide full details of those concerns and an explanation how the attendant risks will be mitigated with the application.

[PREVIOUS](#) [SAVE AND CONTINUE](#)

Criteria C: Resources and financing

Please provide a brief summary of how you believe you meet each criterion and provide a well referenced list of the documents where the evidence to support this can be found.

C.1 (a) Systems, processes and resources

The Applicant has, or has appropriate arrangements in place to ensure that it will have –

(a) the systems, processes and resources

to enable it to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation.

Please summarise how you meet Criterion C.1 (a) and list the documents that support this:

The screenshot shows the ofqual Recognition gateway interface. On the left is a dark blue sidebar with the ofqual logo at the top. Below the logo are navigation links: 'RT RECOGNITION TEST 1', 'ORGANISATION DETAILS', 'SUPPORT AND GUIDANCE', 'APPLY', and 'LOG OUT'. The main content area has an orange header bar with the word 'Recognition'. Below this, the page title is '9. Criteria C: Resources and financing'. The sub-section is 'C.1 (a) Systems, processes and resources'. The text reads: 'The Applicant has, or has appropriate arrangements in place to ensure that it will have: the systems, processes and resources, to enable it to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation.' Below this, it says: 'The [supporting information document](#) explains the type of information we would expect to see in your response as to how you meet criterion C.1 (a).' There is a large grey text input area with the prompt: 'Please explain how you meet Criterion C.1(a) and list the documents that support this. *' and a 'Test example' label. At the bottom left of the input area, it says '998 words / 5988 characters'.

C.1 (b) Financial resources and facilities

The Applicant has, or has appropriate arrangements in place to ensure that it will have –

(b) the financial resources and facilities

to enable it to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation.

Please summarise how you meet Criterion C.1 (b) and list the documents that support this:

The screenshot shows a web form interface. At the top, the title is "C.1 (b) Financial resources and facilities". Below the title, there is a paragraph of text: "The Applicant has, or has appropriate arrangements in place to ensure that it will have the financial resources and facilities to enable it to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation." This is followed by another paragraph: "The [supporting information document](#) explains the type of information we would expect to see in your response as to how you meet criterion C.1 (b)." Below this text is a large, light grey text input area. Inside the input area, there is a small instruction: "Please explain how you meet Criterion C.1(b) and list the documents that support this. *". Below the instruction, the text "Test example" is visible. At the bottom left of the input area, there is a character count: "498 words / 2988 characters". At the bottom of the form, there are two orange buttons: "PREVIOUS" and "SAVE AND CONTINUE".

Criteria D: Competence

D.1 The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that –

(a) it will be able to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation

The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that:

It will be able to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation.

Please summarise how you meet Criterion D.1 (a) and list the documents that support this:

The screenshot shows the ofqual Recognition Test 1 interface. The page title is "10. Criteria D: Competence". The question text is: "D.1(a) it will be able to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation". Below the question, there are two lines of text: "The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that:" and "it will be able to undertake, in accordance with its Conditions of Recognition, the development, delivery and award of any qualification which it may make available as a recognised awarding organisation". A link to the "supporting information document" is provided. The response area is a large text box with the prompt: "Please explain how you meet Criterion D.1 (a) and list the documents that support this. *". At the bottom of the text box, it says "999 words / 6000 characters".

D.1 (b) any such qualification must, as far as possible, be Valid, Reliable, Comparable, Manageable and Minimise Bias

The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that:

any such qualification must, as far as possible, be Valid, Reliable, Comparable, Manageable and Minimise Bias

Please summarise how you meet Criterion D.1 (b) and list the documents that support this:

D.1(b) any such qualification must, as far as possible, be Valid, Reliable, Comparable, Manageable and Minimise Bias

The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that:

any such qualification must, as far as possible, be Valid, Reliable, Comparable, Manageable and Minimise Bias

The [supporting information document](#) explains the type of information we would expect to see in your response as to how you meet criterion D.1 (b).

Please explain how you meet Criterion D.1(b) and list the documents that support this. *

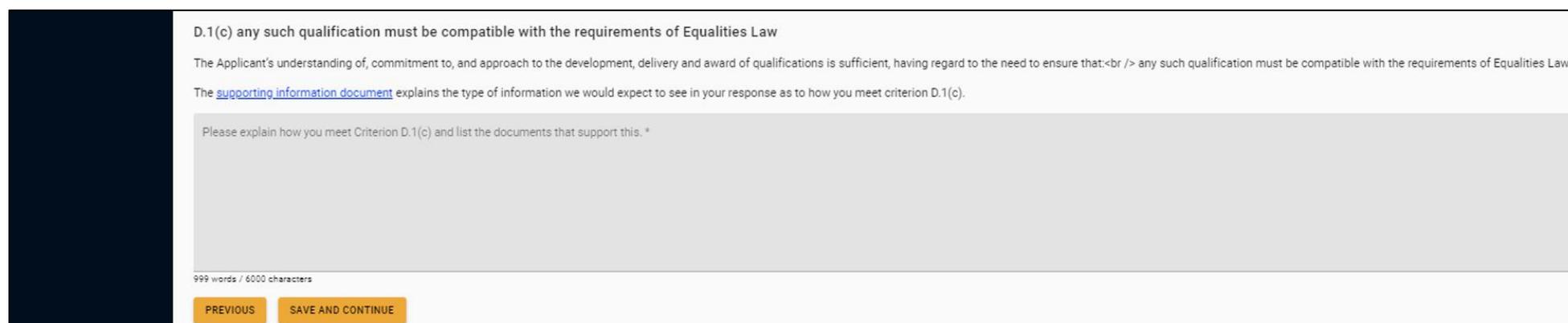
999 words / 6000 characters

D.1 (c) any such qualification must be compatible with the requirements of Equalities Law

The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that:

any such qualification must be compatible with the requirements of Equalities Law

Please summarise how you meet Criterion D.1 (c) and list the documents that support this:



D.1(c) any such qualification must be compatible with the requirements of Equalities Law

The Applicant's understanding of, commitment to, and approach to the development, delivery and award of qualifications is sufficient, having regard to the need to ensure that: any such qualification must be compatible with the requirements of Equalities Law

The [supporting information document](#) explains the type of information we would expect to see in your response as to how you meet criterion D.1(c).

Please explain how you meet Criterion D.1(c) and list the documents that support this. *

999 words / 6000 characters

PREVIOUS SAVE AND CONTINUE

Conditions of application

You will be required to read and accept the terms of application and select the checkbox at the bottom of the page before selecting 'save and continue':

ofqual	Recognition
RT RECOGNITION TEST 1	11. Conditions of application
ORGANISATION DETAILS	Freedom of information
SUPPORT AND GUIDANCE	<p>The Office of Qualifications and Examinations Regulation ("Ofqual") is subject to the requirements of the Freedom of Information Act 2000 ("FOIA") and the Environmental Information Regulations and we may be required to disclose information provided by you to us as part of your application for recognition.</p>
APPLY	<p>In line with FOIA, we shall be responsible for determining in our absolute discretion whether any information is exempt from disclosure in accordance with the provisions of the FOIA or the Environmental Information Regulations.</p>
LOG OUT	<p>In the ordinary course of business, we will notify you prior to disclosing information which directly relates to you under the FOIA and permit you a reasonable period of time to make representations in respect of such disclosures. Notwithstanding the foregoing, you acknowledge that we may, acting in accordance with the Section 45 Code of Practice on the discharge of public authorities' functions under Part 1 of FOIA and guidance issued by the Information Commissioner, be obliged under the FOIA or the Environmental Information Regulations to disclose information: without consulting you, or following consultation with you and having taken your views into account.</p>
	<p>You acknowledge that any material you send or supply to Ofqual will be considered non-confidential or as outlined further below.</p>
	Data protection
	<p>Ofqual processes personal data in accordance with the General Data Protection Regulation (GDPR) and Data Protection Act 2018 "together Data Protection legislation". The legal basis we rely upon to process personal data in your Recognition Application is Article 6(1)(e) of the GDPR, which allows us to process personal data when this is necessary to perform our public tasks as a regulator.</p>
	Why we process your personal data (the legal basis)
	<p>Ofqual's recognition process requires you to provide personal data (for example contact details and proposed Responsible Officer details) to allow us to perform our public tasks as a regulator.</p>
	<p>We will use the information you provide to us in your application to perform our regulatory functions, in particular:</p>
	<ul style="list-style-type: none"> determining your application for recognition, and monitoring any future compliance with the conditions of recognition in relation to which that information is relevant.
	What personal data we process
	<p>Ofqual collects a range of information about you, and potentially others employed by your organisation, when you apply to become a recognised awarding organisation. This includes:</p>
	<ul style="list-style-type: none"> Your name, address and contact details, including email address and telephone number. Other personal details you provide, such as name, address, contact details, and details within CVs of anyone that you have decided it is important for us to know about as part of your application
	<p>Ofqual collects this information using our online application form and any communication you have with us via the Ofqual Gateway. Your information will be stored on our online application system, in our secure document management system and our email system.</p>
	Who we share your personal data with
	<p>Your personal data will be shared internally for the purposes of the recognition process and if required, subsequent regulatory monitoring by Ofqual to ensure continued compliance with the Conditions of Recognition. This includes members of staff involved in the review and evaluation of your application and those who administer the recognition application process.</p>
	<p>As part of the application, Ofqual staff will contact you to provide the outcome of your application, to arrange meetings, and/or to request further information from you.</p>
	<p>We will not disclose any personal data supplied to us as part of the recognition process to a third party, except to the following third parties who may access and use the information:</p>
	<ul style="list-style-type: none"> Other public authorities in order to further Ofqual's qualifications functions, for example, the Institute for Apprenticeships and Technical Education and the Education and Skills Funding Agency; Other qualifications regulators in the United Kingdom (where it is necessary for those regulators to have information in the course of carrying out their regulatory functions); Ofqual's data processors who are third parties who provide services for us. We have contracts in place with our data processors. This means that they cannot do anything with personal information unless we have instructed them to do it. They will not share your personal information with any organisation apart from us. They will hold it securely and retain it for the period we instruct; The police, fraud prevention agencies or other law enforcement agencies (to investigate or prevent crime, including fraud); The courts (in connection with court proceedings); In circumstances we are legally obliged to share information. For example under a court order; Another third party where we satisfy ourselves that we have a lawful basis on which to share the information.
	<p>In any scenario, we will satisfy ourselves that we have a lawful basis on which to share the information.</p>
	How long we keep your personal data for
	<p>Your personal data will be stored in our online application system, in our secure document management system and our email system.</p>
	<p>If recognised, we will hold the application form and all documents submitted for recognition, our decision documents, and Ofqual reports for the life of the awarding organisation plus 12 months.</p>
	<p>If rejected, we will hold the application form submitted for recognition, our decision documents and Ofqual reports for 10 years following rejection. Documents submitted by the applicant will be deleted after two years of the decision. This is to allow sufficient time for you to reapply.</p>
	<p>Ofqual will monitor incomplete applications and dormant accounts in the Ofqual Gateway. We will contact the named individual through the Ofqual Gateway to ask whether you/they still need the account. If you/they no longer need it, or we receive no response, we will delete all personal data from the account.</p>

ofqual

RT

RECOGNITION
TEST1

ORGANISATION DETAILS

SUPPORT AND GUIDANCE

APPLY

LOG OUT

Recognition

account:

Your rights

Under data protection legislation you have a number of rights in relation to your personal data. You can:

- Access and obtain a copy of your data on request.
- Require Ofqual to change incorrect or incomplete data
- Require Ofqual to delete or stop processing your data, for example where the data is no longer necessary for the purposes of processing.

However, due to the purposes for which Ofqual may be processing your personal data, we may not be able to comply with some requests due to our legal or contractual obligations.

You are under no statutory or contractual obligation to provide data to Ofqual during the application process. However, if you do not provide the information, Ofqual will not be able to process your application properly or at all.

How Ofqual protects your personal data

All Ofqual staff are required to respect the personal data and privacy of others and must ensure that appropriate protection and security measures are taken against unlawful or unauthorised processing of personal data. This includes controls to protect against the accidental loss of, or damage to personal data and to ensure only authorised access to personal data.

Data protection legislation includes provisions that promote accountability, good information governance and data security. Ofqual has technical, procedural, administrative controls and processes in place to make sure your personal data is protected; these are supported and underpinned by a number of information assurance and security policies and guidance. For more information, please contact Ofqual's Data Protection Officer (contact details given below).

For further information on how we handle personal data and subject rights please see Ofqual's Personal Information Charter and Data Protection Policy [here](#).

Contact information

You can contact Ofqual at:

Ofqual

Earlsdon Park

53-55 Butts Road

Coventry

CV1 3BH

Email: public.enquiries@ofqual.gov.uk

Telephone: 0300 303 3344

You can contact Ofqual's Data Protection Officer in writing at the address above or by email at dpo.requests@ofqual.gov.uk

Making a complaint

If you believe that Ofqual has not complied with your data protection rights, please contact Ofqual's Data Protection Officer in the first instance.

Or if you wish to make a formal complaint to Ofqual about how we process your personal data, please visit our complaints procedure page [here](#).

You also have the right to make a complaint to the Information Commissioner's Office (ICO) at:

The Information Commissioner

Wycliffe House

Water Lane

Wilmslow

Cheshire

CV1 3BH

Telephone: 0303 123 1113

www.ico.org.uk

Confidentiality

Subject to the Data Protection and Commercial sensitivity sections, by submitting your application for recognition, you acknowledge that any material you provide to us will be considered non-confidential and we have the right to use, copy, distribute and disclose to third parties, as stated above.

Commercial sensitivity

You can indicate that you reasonably believe information to be commercially sensitive by marking the information as 'commercially sensitive information' at the time of submission to Ofqual. By giving this indication, this alerts us to the potential sensitivity of this information and we will consult you prior to any disclosure of this information, including in response to a request under FOIA or the Environmental Information Regulations and will, to the extent permitted by law, give you a reasonable amount of time to make representations in respect of such disclosure. Such representations shall be taken into account prior to such disclosure. If it is apparent to us, acting reasonably, that the information could not be considered sensitive, then we are entitled to disclose this information in accordance with the Freedom of information and Confidentiality sections of these conditions. In the event of Ofqual receiving an information request, pending, withdrawn and rejected applications shall be deemed to be confidential information and, subject to the Freedom of Information and Acknowledgement sections, we shall not disclose this information to third parties.

Acknowledgement

Subject to the Data Protection sections and notwithstanding the Confidentiality and Commercial sensitivity sections you acknowledge that we shall be entitled to disclose your confidential information to any Crown Body, government agency, regulatory or public authority or contracting authority (as defined in Regulation 3 of the Public Contracts Regulations 2006) ("Authorities") or otherwise as required to fulfil our statutory remit (as more particularly described in the Apprenticeships, Skills, Children and Learning Act 2009). All Authorities receiving any confidential information shall be entitled to further disclose such confidential information to other Authorities on the basis that such confidential information is confidential and is not to be disclosed to any third party.

Intellectual property

You warrant that the material you have submitted does not breach a third party's copyright or other intellectual property rights; the Data Protection legislation; or any other law, contractual or other duty to which you are subject.

Please indicate that you understand the above information. *

I have read and understand the information above

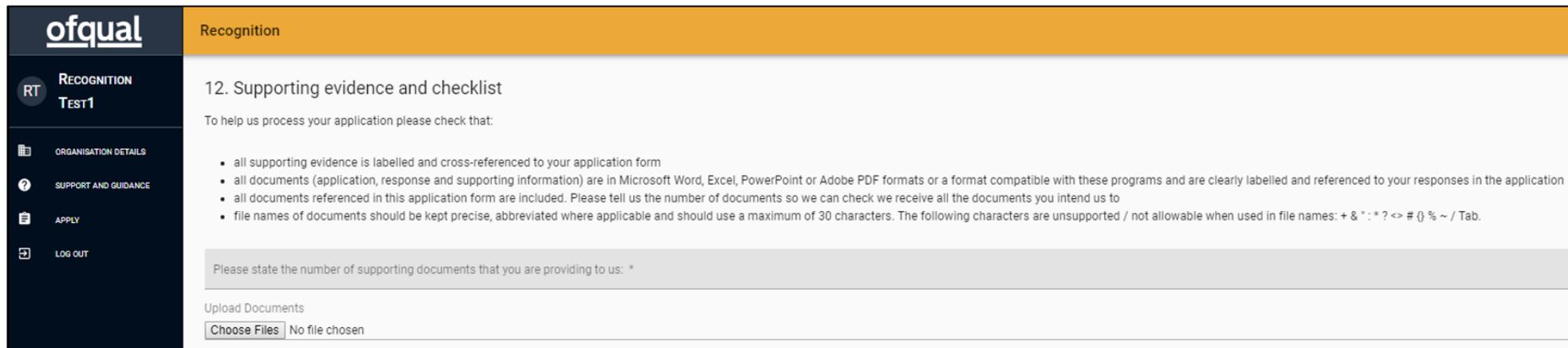
PREVIOUS

SAVE AND CONTINUE

Supporting evidence and checklist

To upload the supporting documents that you have referred to throughout your application, go to the 'upload documents' heading, then select 'choose files'. You will be presented with a pop-up window where you can select your documents. The title of each file will be displayed when it is uploaded. Please reference your documents clearly and ensure that the number entered corresponds with the number uploaded. You may find this easier to upload in batches rather than all documents in one go.

Please note: We expect you to upload all documents as well referenced individual files. Please do not upload Zip files due to the security concerns of these file types and the impact on our retention of documents schedule.



The screenshot shows the 'ofqual' logo in the top left corner. The main header is 'Recognition'. The left sidebar contains navigation links: 'RT RECOGNITION TEST1', 'ORGANISATION DETAILS', 'SUPPORT AND GUIDANCE', 'APPLY', and 'LOG OUT'. The main content area is titled '12. Supporting evidence and checklist' and includes the instruction: 'To help us process your application please check that:'. A bulleted list of requirements is provided, followed by a text input field for the number of supporting documents and an 'Upload Documents' section with a 'Choose Files' button.

ofqual

Recognition

RT RECOGNITION TEST1

ORGANISATION DETAILS

SUPPORT AND GUIDANCE

APPLY

LOG OUT

12. Supporting evidence and checklist

To help us process your application please check that:

- all supporting evidence is labelled and cross-referenced to your application form
- all documents (application, response and supporting information) are in Microsoft Word, Excel, PowerPoint or Adobe PDF formats or a format compatible with these programs and are clearly labelled and referenced to your responses in the application
- all documents referenced in this application form are included. Please tell us the number of documents so we can check we receive all the documents you intend us to
- file names of documents should be kept precise, abbreviated where applicable and should use a maximum of 30 characters. The following characters are unsupported / not allowable when used in file names: + & " : * ? < > # { } % ~ / Tab.

Please state the number of supporting documents that you are providing to us: *

Upload Documents

Choose Files | No file chosen

Declaration and submission

Prior to submitting your application, you will be required to confirm that you have understood and agree to two declarations by selecting 'yes':

13. Declaration and submission

I certify that the information on this application form is complete, true and accurate. I understand that, should Ofqual grant recognition, should I provide information which is found to be untrue or inaccurate, I and/or the awarding organisation may be subject to investigation and possible regulatory action.

Do you agree to us contacting other bodies to whose regulation you or your senior officers are subject? *

Yes

No

Do you agree to us contacting other organisations named in your application or supporting materials to verify the information you have provided? *

Yes

No

Proposed Responsible Officer

I certify that the information on this application form is complete, true and accurate. I understand that, should Ofqual grant recognition, should I provide information which is found to be untrue or inaccurate, I and/or the organisation may be subject to investigation and possible regulatory action.

You are required to provide an electronic signature:

14. Proposed responsible officer

I certify that the information on this application form is complete, true and accurate. I understand that, should Ofqual grant recognition, should I provide information which is found to be untrue or inaccurate, I and/or the awarding organisation may be subject to investigation and possible regulatory action.

Full name *

Date
1:48pm 6th Sep 2019

The date field is automatically date and time stamped upon submission. Click 'submit' to complete the online application. After pressing 'submit', you will receive an acknowledgement that your application has been submitted successfully and the status will be updated in the Responses area. Should Ofqual need to contact you in relation to your application, this will be done via the Responses area and you will be alerted by an email notification to log into your recognition gateway account.

Outcome

Once your application has been submitted, we will use the Responses area of the recognition gateway to contact you if we need to ask any questions about your application or to invite you to a panel meeting, if you reach this stage of the process. Once a decision is made, your outcome letter will be uploaded to the Responses area which will trigger an email notification to you, to prompt you to log into the gateway. You can download the letter and save it to your device for further reference and to share it with colleagues.

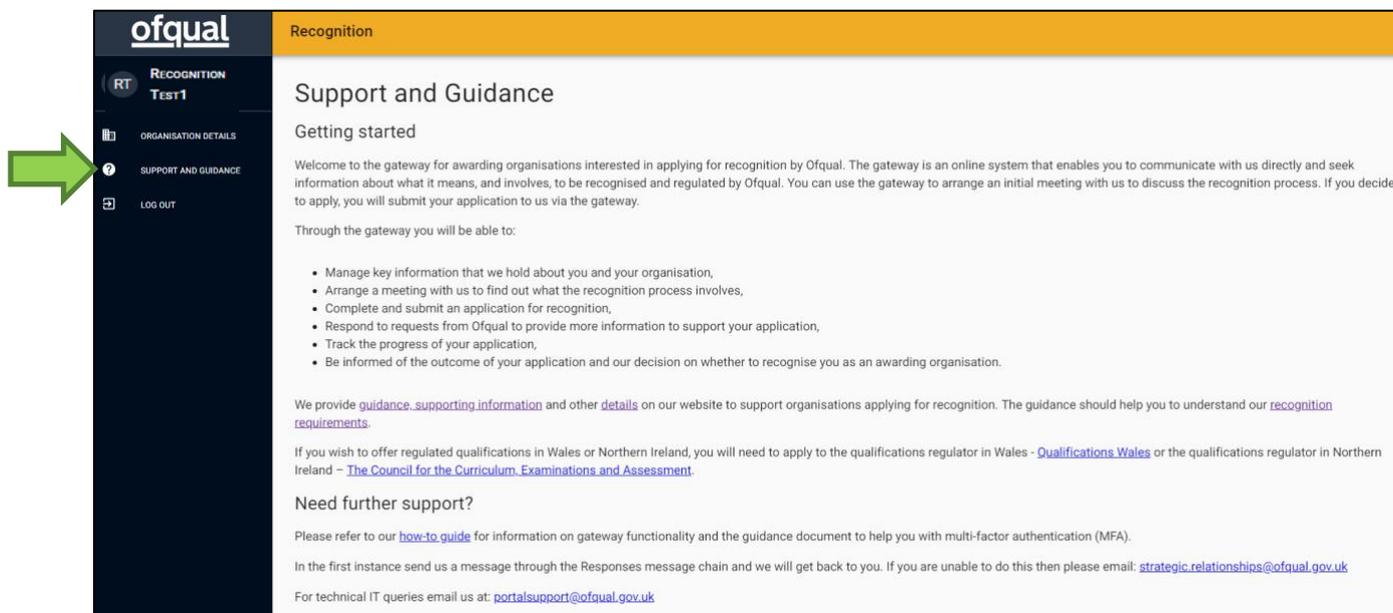
Where an application is successful a member from Ofqual's Standards team will contact you to discuss next steps. You will be assigned a Standards Portfolio Lead and they will be your main point of contact in Ofqual.

Where an application was not successful, we will offer you a feedback meeting. We give you 10 working days to request this meeting invitation via the Responses area. Your application will remain open for those 10 working days. If we have not heard from you, or you have said you do not want a feedback meeting, we will then close this application on the gateway.

Closing your application will change the status to 'reject'. This means this application is closed and you can apply again. All of the information you provided in your previous application will be available to you, including the supporting evidence documentation you uploaded. You can remove documents and upload new ones as you amend and change your application before resubmitting it to Ofqual for review.

Support and guidance

The support and guidance page can be found on the navigation pane on the left-hand side of the screen:



The screenshot shows the Ofqual Recognition Test1 portal. The left-hand navigation pane is dark blue and contains the following items: 'ofqual' logo, 'RT RECOGNITION Test1', 'ORGANISATION DETAILS', 'SUPPORT AND GUIDANCE' (highlighted with a green arrow), and 'LOG OUT'. The main content area is white and titled 'Support and Guidance'. It includes a 'Getting started' section with a welcome message, a list of capabilities, and links to guidance documents. The 'Need further support?' section provides contact information for technical IT queries.

Helpful [information, guidance](#) and [supporting documentation](#) can be found on our website to support organisations applying for recognition. The guidance should help you to understand our recognition requirements.

If you require support please send a message through the 'Responses' area on the organisation details page.

For technical IT queries email us at: portalsupport@ofqual.gov.uk



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