

GUIDANCE

# PTQ outcomes – Assessment outcomes

Guide to the data submission process

**ofqual**

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# Introduction

In order to fulfil our regulatory and accreditation functions as set out in the [Apprenticeships, Skills, Children and Learning Act 2009](#), we require awarding organisations to provide exams delivery data for regulated qualifications.

## What data will be collected?

Data should relate only to vocational and technical qualifications (VTQs) that are included in the Department for Education's performance tables (PTQs) for the academic year being submitted. More specifically, these are: Technical Awards, Applied Generals, Technical Certificates and Technical Levels.

## When will data be collected?

Data will be collected according to the [reporting schedule](#) which is agreed and maintained by Ofqual's data services team.

## Updates to formats and guidance

This guidance document will be updated regularly. Any changes to procedure will be incorporated into the guidance document.

## How to submit your data

Your data should be submitted to us in CSV format. Please refer to the 'Connecting to Ofqual's data portal and uploading data' document on our [web page](#) to help you submit your files to us. If you need to ask us about a data submission please do contact the [Data Services team](#), please do not send your data files via email to Data Services or to any other Ofqual email address, or via Contact the Regulator in the Portal.

## Uploaded data

Once files have been successfully uploaded, the data will be validated against a set of validation rules. These are detailed in the sections below. If validation is successful, the data is automatically transferred into our systems and you will receive email confirmation. If the file is unsuccessful at any stage of validation you will receive an email with details of the validation failure. Please correct your file and resubmit it.

## Amendments to data

Ofqual staff will not alter data once it has been submitted. If you find an error or omission after you've had a successful upload, please notify us [by email](#). We need to reject the existing submission before you can upload a new file.

## How your data will be used

This data will be used to undertake our regulatory activities and, where required, to produce Official Statistics to fulfil our responsibility as a government department.

## General completion guidelines

- This template is designed to capture data on all assessment results issued during the academic year
- By 'assessment', we mean the actual assessment tasks (tests, portfolios, etc.) that have been taken by learners. This could also be understood as the lowest level of granularity within a qualification where marking and/or grading occurs<sup>1</sup>. We are not referring to teaching units (although units might only contain one assessment).
- The MaxMarkAndBoundaryID field would be a unique code for a particular set of assessment grade boundaries and maximum mark information, intended to act as a linking field between the outcomes and maximum marks/grade boundaries templates. For example, for series-based assessments it could be the name of the series, or for on-demand assessments a unique code specific to that version of the assessment. '-2' would be accepted for assessments where the boundaries and maximum marks don't change throughout the academic year.

## File format

The file must be CSV format and the first row must be headers as displayed in the 'Name' column of the table below. The subsequent rows must have the values of the data to be reported which must match the format and validation rules below.

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<sup>1</sup> There may be some situations where a single assessment is made up of more than one test paper. Where this applies, we are still interested in the level at which marking/grading occurs. If that is done individually for each test paper then please treat those as separate assessments. If marks and grades are only considered at the aggregate level, then please treat both parts as one single assessment.

Name	Description	Position	Validation Regular Expression	Description of Regular Expression
ReportingDate	Date the file was due to be submitted to Ofqual regardless of when it was actually uploaded (this date will be made available by Ofqual).	1	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	The date in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits)
AcademicYear	The academic year which this data submission relates to (defined as 1 September to 31 August). For example, “2021-2022”.	2	^(20)\d\d[-](20)\d\d \$	The academic year in the following format: start year (4 digits), a dash, end year (4 digits)  Format accepted yyyy-yyyy
AwardingOrganisation	Name of the awarding organisation	3	^.{1,100}\$	1 to 100 characters accepted

AssessmentCode	<p>Unique identifier for the assessment, generated by the AO.</p> <p>Should match the codes given in the Assessment Reference Information template.</p>	4	^.{1,50}\$	1 to 50 characters accepted
MaxMarkAndBoundaryID	<p>Identifier used to link information between the outcomes and grade boundaries templates.</p> <p>Where grade boundaries and/or maximum marks change for this assessment code, please use a common value for this field in both the assessment outcomes and assessment grade boundaries templates.</p> <p>For sessional or series-based assessments, this could be the series name.</p> <p>For on-demand assessments, this could be the test version</p> <p>-2 accepted where boundaries and maximum marks information do not change throughout the academic year</p>	5	^.{1,50}\$	1 to 50 characters accepted

UniqueLearnerNumber	<p>Unique Learner Number (ESFA code) provided by the Learning Records Service.<sup>2</sup></p> <p>Please provide this identifier wherever possible</p> <p>-2 accepted where the learner does not have a ULN</p>	6	$\backslash d\{1,10\}$	<p>1 to 10 digits accepted</p> <p>-2 accepted where the candidate does not have a ULN</p>
UniqueCandidateIdentifier	<p>Unique Candidate Identifier (JCQ code), assigned to the candidate.<sup>2</sup></p> <p>-2 accepted where the learner does not have a UCI</p>	7	$\backslash .\{1,13\}$	<p>A valid UCI. Alpha numeric 13 characters accepted</p> <p>-2 accepted where the candidate does not have a UCI</p>
CandidateIdentifierOther	<p>Any other unique candidate number allocated by individual awarding organisation. Must be provided where neither UCI or ULN are available.<sup>2</sup></p> <p>-2 accepted where at least one of UCI or ULN have been provided</p>	8	$\backslash .\{1,20\}$	<p>1 to 20 characters accepted</p> <p>-2 permitted where at least one of UCI, ULN or UPN have been provided</p>

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<sup>2</sup> To allow us to identify the learner please provide at least one of UniqueLearnerNumber, UniqueCandidateIdentifier or CandidateIdentifierOther. If more than one is collected, please provide as many as are available.

AssessmentDate	<p>Date assessment was taken or submission deadline/claim dates for non-exam assessment.</p> <p>For windowed assessments, please provide the date based on the last date of the window.</p> <p>For assessments which take place over multiple days, please provide the date it was submitted for marking/grading.</p> <p>If no date is available please provide the date the result was entered.</p>	9	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9] 3[01])\$	The date in the following format: year (4 digits), a dash, month (2 digits), a dash, day (2 digits)
AssessmentRawMark	<p>Final raw mark for the assessment</p> <p>By raw mark, we mean the summed number of marks achieved by a learner without any weighting, scaling or other conversion applied.</p> <p>-2 accepted for not applicable</p>	10	^\d{1,3}\$	Three-digit integer. -2 accepted where not applicable
AssessmentScaledScore	<p>Final scaled mark/score for the assessment, where used.</p> <p>This would include any numerical score applied to the assessment that would not</p>	11	^\d{1,3}\$	Three-digit integer. -2 accepted where not applicable



	<p>be considered a raw mark (see definition above) or a 'grade'.</p> <p>This can include, for example, percentage scores, Uniform Mark Scale (UMS) marks or Grade Points or Grade Credits</p> <p>-2 accepted for not applicable</p>			
AssessmentGrade	<p>Assessment grade, where given including fail and near pass grades if relevant.</p> <p>-2 accepted for not applicable</p>	12	See Annex A	See Annex A for accepted grades

# Annex A – Accepted Grade Values

The following are grades accepted for this collection. **Please let us know via the Portal as soon as possible if any grades appear to be missing from this list.** You will not be able to submit any grades which are not on this list without informing us first.

- FAIL
- -2, 1, 2, 3, 4, 5, 6, 7, 8, 9,
- \*, A\*, A, B, C, D\*, D, E, F, G, J, K, M, N, P, Q, U, X
- AC1, C1, E1, E2, E3,
- D1, D2, D3, D4, D5, D6, M1, M2, M3, P1, P2, P3,
- \*\*, \*1, \*2, \*D, D\*D\*, D\*D, DD, DM, HM, HP, MD, MM, MP, PM, PP,
- \*\*\*, \*\*D, \*DD, D\*D\*D, D\*D\*D\*, D\*DD, DD\*, DD\*D, DDD, DD\*, DDM, DMM, MDD, MMD, MMM, MMP, MPP, PMM, PPM, PPP,
- 24B, 25B, 26B, 27B, 28B, 29B, 30B, 31B, 32B, 33B, 34B, 35B, 36B, 37B, 38B, 39B, 40B, 41B, 42B, 43B, 44B, 45B
- 24D, 25D, 26D, 27D, 28D, 29D, 30D, 31D, 32D, 33D, 34D, 35D, 36D, 37D, 38D, 39D, 40D, 41D, 42D, 43D, 44D, 45D
- 24F, 25F, 26F, 27F, 28F, 29F, 30F, 31F, 32F, 33F, 34F, 35F, 36F, 37F, 38F, 39F, 40F, 41F, 42F, 43F, 44F, 45F

If you have any of the following grades please convert them to the allowed values listed

Grade	Allowed Value	Grade	Allowed Value
Distinction	D	L1 Credit	C1
High Merit	HM	L2D*	*2
Merit	M	Distinction* L2	*2
High Pass	HP	L2 Distinction*	*2
Pass	P	L2D	D2
L1D*	*1	Distinction L2	D2
L1			
Distinction*	*1	L2 Distinction	D2
Distinction L1	D1	L2M	M2
L1 Distinction	D1	Merit L2	M2
L1D	D1	L2 Merit	M2
Merit L1	M1	L2P	P2
L1 Merit	M1	Pass L2	P2

L1M	M1	L2 Pass	P2
Pass L1	P1	Entry 1	E1
L1 Pass	P1	Entry 2	E2
L1P	P1	Entry 3	E3
L1 Adv. Credit	AC1	Unclassified	U
		Queried/pending	Q

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## Contacts

For all queries relating to the data collection process, amendments to data previously provided, or for general guidance, please contact:

Ofqual  
Earlsdon Park  
53-55 Butts Road  
Coventry  
CV1 3BH

Email [Data.Services@ofqual.gov.uk](mailto:Data.Services@ofqual.gov.uk)



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