Business Impact Target
Non-Qualifying Regulatory Provisions: 9 June 2017 to 20 June 2018

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Excluded Category*	Summary of measure(s), including any impact data where available

Measures certified as being below de minimis (measures with an EANDCB below +/- £5 million)	• We introduced an additional ground of appeal for GCSE, A and AS level qualifications following a pilot. Cost to awarding organisations (AOs) estimated at £250k pa. Analysis published in the evaluation document here.
	• We introduced a new audit process following a pilot which has resulted in AOs receiving more meaningful audit reports. Based on early analysis we estimate the cost impact to AOs audited in 2017/18 to be in the region of £22k.
	• As part of our review of legacy regulatory documentation, we:
	  ➢ withdrew the Code of Practice for Principal learning and Diploma qualifications. Outcome published here.
	  ➢ withdrew the Code of Practice for Project qualifications and introduced new Conditions and Guidance. Decisions published here.
	  One off cost to AOs estimated at £9k and annual cost estimated at £5k.
	• We amended rules for Advanced Extension Awards in light of A level reform. New Conditions and Guidance reflect existing provisions and will apply to qualifications awarded after 1 September 2018. Impact on a single AO affected is <£1k. Decisions published here.
	• We made minor changes to some of our organisational processes, which resulted in little to no cost impact on AOs; this included our Examination Procedures Review Service, complaints and investigation procedures.
	
	• We made changes to assessment in GCSE Computer Science to address evidence that the rules for the non-exam assessment were not in all cases being met. Savings to AOs estimated of £150k in 2018 and £350k in 2019. Analysis published in the regulatory impact assessment here.
	• We developed the functionality of our IT system for gathering regulated qualification data from AOs (AO Portal) to enable more activities to be handled, including Event Notifications,

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	annual Statement of Compliance and communications. We anticipate the changes will deliver a small saving to AOs.
EU Regulations, Decisions and Directives and other international obligations, including the implementation of the EU Withdrawal Bill and EU Withdrawal Agreement	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Measures certified as concerning EU Withdrawal Bill operability measures	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Pro-competition	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Systemic Financial Risk	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Civil Emergencies	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Fines and Penalties	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Misuse of Drugs	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Measures certified as relating to the safety of tenants, residents and occupants in response to the Grenfell tragedy	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.
Casework	We can report the following enforcement activity: • 3 Notices of a Monetary Penalty (£30,000, £125,000 & £50,000), issued with Notices of Cost Recovery (£10,000, £5,842 & £50,000). • 1 Direction to an AO to take specific action • 10 Undertakings by AOs, accepted by Ofqual, setting out action they will take to ensure ongoing compliance with the *General Conditions of Recognition* • 5 Special Conditions imposed • 1 withdrawal of recognition We received over 100 applications or enquiries to the Exam Procedures Review Service (EPRS) during the period. 7 completed applications required a substantive response from the AO before the case could be concluded. One EPRS hearing was conducted. In the 2017/18 financial year we completed 78 audits, 5 investigations and 94 recognition application decisions. We also handled 223 complaints about AOs and 50 whistleblowing cases.

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	Information about our operational activity is published in the Ofqual Annual Report and Accounts 2017 – 2018. Our records indicate we made around 35 requests for data/ information from AOs in this BIT reporting period (including formal requests) to inform casework activity. This excludes: • requests made as part of the audits/ investigations/ enforcement activity reported above and • requests relating to the policy development activity listed below.
Education, communications and promotion	We regularly communicate with AOs to keep them informed of Ofqual's existing and proposed regulatory requirements and for transparency purposes. We do this through stakeholder events and workshops, and also via a range of media activities including Portal articles, Responsible Officer letters, publications and guidance on the Ofqual website. We held our annual AO conference where we met with the regulated qualifications community to engage on key topics. We also issued a survey to seek views about how we could improve our communication with AOs. The key areas of regulation we communicated about included: • **Total Qualification Time (TQT) -** we produced information to assist AOs to understand our requirements. • **Event Notifications –** we provided information to help AOs understand what events they should report to us and when. • **Making clear which qualifications Ofqual regulates –** We issued communications to make it clear which qualifications we regulate. • **Gathering information from regulated AOs** – we published a statement explaining how we gather information from AOs for regulatory purposes. • **Centre Controls and moderation** – we issued communications to AOs and a call for evidence on assuring quality of centre-based assessment judgements. • **Regulation of apprenticeship end-point assessments** - we issued a communication setting out Ofqual's approach to the regulation of end-point assessments. • **Logo requirements** – we published a document with Qualifications Wales (QW) and the Council for the Curriculum, Examinations and Assessment (CCEA) explaining when AOs should use the logo of each regulator on certificates.
Activity related to policy development	**Consultations:**

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	We formally consulted on proposals to implement regulatory changes. These are listed below: • **Reforming Functional Skills qualifications in English and mathematics.** We held engagement events with AOs and wider stakeholders during the consultation period. We also gathered information from AOs offering Functional Skills qualifications to help us understand better the impact of our proposals. • **Assessment arrangements for GCSE computer science.** We gathered information from AOs to inform our consultation proposals. • **Regulating apprenticeship end-point assessments**. We held engagement events with AOs to help them understand our proposals. • **Teacher involvement in the development of confidential assessment materials.** We gathered information from AOs and issued a public call for evidence to inform the consultation proposals. • **Regulating Advanced Extension Awards**. We issued a letter to AOs seeking feedback on proposed changes to the list of qualification types available in the Portal, visible on the Register and against which we publicly report. **Research activity:** We have undertaken research in the following areas which has involved engagement with/ requests for information from AOs: • **Quality of marking –** to monitor marking reliability and explore metrics for reporting quality of marking across exam boards. • **Moderation** – to gain deeper understanding of moderation practices, processes and mark scaling. • **GCSE Maths problem-solving -** to evaluate the difficulty of the summer 2017 GCSE maths assessments. • **Inter-subject comparability -** to determine how potential changes to grade boundaries in Physics, Chemistry, Biology, French, German and Spanish (and Geography as a control subject) might impact their usefulness for university admissions. • **A level Science practical skills -** to evaluate the impact of A level science reform on the practical skills of new science undergraduates and the functioning of examination questions indirectly assessing science practical skills. • **Approach to grading a specific qualification**, via a document review process.

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	• **Improving awarding** - to develop improved methods for maintaining GCSE and A level grading standards. • **Summer awarding monitoring –** to monitor the summer series of examinations • **Applied Generals and Tech Levels** - information is being collected to monitor standards in these qualifications and provide an evaluation of the impact of policy changes recently introduced by the Department for Education. • **Appeals review –** to review AO appeals processes following the introduction of new grounds of appeal in general qualifications. **Evaluation of Reform** - We are gathering information from AOs to help us evaluate the impact of new regulations implemented as part of the reforms to GCSE, A & AS level qualifications. **National Reference Test (NRT)**: We have continued to gather data on learner performance through NRT and we are continuing discussions with AOs about using this data in GCSE awarding.
Changes to management of regulator	Following consideration of the exclusion category there are no measures for the reporting period that qualify for the exclusion.

* For full, legal definitions of these exclusion categories, please see
https://www.parliament.uk/business/publications/written-questions-answers-statements/written-statement/Commons/2018-06-20/HCWS776/