

NOT YET IN FORCE

Ofqual Handbook – General Conditions of Recognition

Revisions coming into force 1 October 2020

ofqual

Contents

Section A – Governance	6
Condition A1 - Suitability for continuing recognition	6
Guidance on Condition A1	7
Condition A2 - Establishment in the EU or the EFTA	7
Condition A3 - Safeguards on Change of Control	8
Condition A4 - Conflicts of interest	8
Guidance on Condition A4	9
Condition A5 - Availability of adequate resources and arrangements	15
Guidance on Condition A5	16
Condition A6 - Identification and management of risks	17
Guidance on Condition A6	17
Condition A7 - Management of incidents	18
Condition A8 - Malpractice and maladministration	18
Guidance on Condition A8	19
Section B - The awarding organisation and Ofqual	23
Condition B1 - The role of the Responsible Officer	23
Guidance on Condition B1	24
Condition B2 - The annual statement of compliance to Ofqual	24
Condition B3 - Notification to Ofqual of certain events	25
Guidance on Condition B3	27
Condition B4 - Notice to provide information to Ofqual	29
Condition B5 - Representations regarding qualifications	30
Guidance on Condition B5	30
Condition B6 - Cooperation with Ofqual	31
Condition B7 - Compliance with Regulatory Documents	31
Condition B8 - Compliance with undertakings given to Ofqual	31
Logo Requirements	32
Section C - Third parties	35
Condition C1 - Arrangements with third parties	35
Guidance on Condition C1	35
Condition C2 - Arrangements with Centres	36
Guidance on Condition C2	37
Condition C3 Arrangements with publishers	39
Guidance on Condition C3	40
Section D - General requirements for regulated qualifications	41

Condition D1 - Fitness for purpose of qualifications	41
Condition D2 - Accessibility of qualifications	41
Guidance on Condition D2	42
Condition D3 - Reviewing approach.....	42
Guidance on Condition D3	43
Condition D4 - Responding to enquiries and complaints procedures	44
Condition D5 - Compliance of qualifications with Regulatory Documents.....	45
Condition D6 - Management of the withdrawal of qualifications	45
Guidance on Condition D6	46
Condition D7 - Making available information to help meet Teachers' needs.....	47
Condition D8 - Compliance with saving and transitional provisions following cessation of accreditation	48
Section E - Design and development of qualifications	49
Condition E1 - Qualifications having an objective and support	49
Guidance on Condition E1	50
Condition E2 - Requirements on qualification titling	50
Guidance on Condition E2.....	51
Condition E3 - Publication of a qualification specification	52
Guidance on Condition E3.....	54
Condition E4 - Ensuring an assessment is fit for purpose and can be delivered ..	54
Condition E5 - Assurance that qualifications comply with the conditions	55
Guidance on Condition E5.....	55
Condition E6 - Submitting qualifications to the Register	56
Condition E7 - Total Qualification Time	56
Guidance on Condition E7.....	58
Condition E8 - Credit	63
Condition E9 - Qualification and Component levels	63
Condition E10 Recognition of Prior Learning.....	65
Guidance on Condition E10.....	65
Total Qualification Time Criteria	66
Guidance on level and level descriptors	75
Section F - Providing qualifications to purchasers.....	77
Condition F1 - Information on fees and features of a qualification.....	77
Condition F2 - Packaging qualifications with other products or services.....	78
Guidance on Condition F2.....	78
Condition F3 - Invoicing	79
Section G - Setting and delivering the assessment	80

Condition G1 - Setting the assessment	80
Guidance on Condition G1	80
Condition G2 - Language of the assessment	82
Condition G3 - Use of language and Stimulus Materials.....	82
Guidance on Condition G3	83
Condition G4 - Maintaining confidentiality of assessment materials.....	84
Guidance on Condition G4	86
Condition G5 - Registration of Learners	91
Condition G6 - Arrangements for Reasonable Adjustments	91
Guidance on Condition G6	91
Condition G7 - Arrangements for Special Consideration	93
Guidance on Condition G7	94
Condition G8 - Completion of the assessment under the required conditions	96
Guidance on Condition G8	96
Condition G9 - Delivering the assessment.....	98
Guidance on Condition G9	99
Guidance on safeguarding confidentiality where Teachers are involved in developing assessments	100
Section H - From marking to issuing results.....	110
Condition H1 - Marking the assessment.....	110
Condition H2 - Moderation where an assessment is marked by a Centre	111
Condition H3 - Monitoring the specified levels of attainment for a qualification ..	113
Condition H4 - Adjudication by Ofqual of specified levels of attainment for a qualification	113
Condition H5 - Results for a qualification must be based on sufficient evidence	114
Condition H6 - Issuing results	115
List of assessments that must be Moderated	116
Centre Assessment Standards Scrutiny requirements.....	116
Guidance on Centre Assessment Standards Scrutiny other than Moderation	118
Guidance on Centre Assessment Standards Scrutiny - Moderated assessments	121
Centre Assessment Standards Scrutiny strategy requirements.....	122
Guidance on Centre Assessment Standards Scrutiny strategies	124
Guidance on making changes to incorrect results.....	127
Section I - Appeals and certificates.....	134
Condition I1 - Appeals process	134
Condition I2 - Compliance with Ofqual's appeals and complaints process	135
Condition I3 - The design and content of certificates	135

Condition I4 - Issuing certificates and replacement certificates	136
Certificate Requirements	137
Section J - Interpretation and definitions	138
Conditions J1.1-J1.7 - Interpretation	138
Condition J1.8 - Definitions.....	139

NOT YET IN FORCE

Section A – Governance

Rules about governance of awarding organisations, including management of conflicts of interest, risks, incidents and malpractice

Condition A1 - Suitability for continuing recognition

Suitability for continuing recognition

A1.1 An awarding organisation must not, by means of any act or omission which has or is likely to have an Adverse Effect, render itself unsuitable to continue to be recognised for the award of a relevant qualification.

A1.2 For the purposes of Condition A1.1, an act or omission may include in particular one which results in the awarding organisation –

- (a) being convicted of a criminal offence,
- (b) being held by a court or any professional, regulatory, or government body to have breached any provision of Competition Law, Equalities Law, or Data Protection Law,
- (c) being held by a court or any professional, regulatory, or government body to have breached a provision of any other legislation or any regulatory obligation to which it is subject, or
- (d) becoming insolvent or subject to corporate financial restructuring.

Inactive awarding organisations

A1.3 An awarding organisation must –

- (a) ensure that, within two years of first being recognised for the award of qualifications, it has submitted to Ofqual for accreditation or directly to the Register a qualification that meets its Conditions of Recognition, and
- (b) take all reasonable steps to ensure that, once it has complied with Condition A1.3(a), it awards a qualification in a way that complies with its Conditions of Recognition at least once in every two-year period.

Ensuring the suitability of Senior Officers

A1.4 An awarding organisation must ensure that each of its Senior Officers is at all times a person suitable to be engaged in that role in an awarding organisation that is recognised for the award of the relevant qualifications.

A1.5 For the purposes of Condition A1.4, a Senior Officer may in particular be unsuitable for that role by virtue of –

- (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 proceedings in bankruptcy or any individual financial arrangement to which he or she is or has been subject,

(d) any disqualification from holding the directorship of a company or from public office, or

(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.

Guidance on Condition A1

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- is clear about which acts or omissions will have, or are likely to have, an Adverse Effect, and is aware of the type of actions and behaviours that could cause it to happen;
- makes sure all relevant staff understand which acts or omissions will have, or are likely to have, an Adverse Effect;
- has considered the behaviours that might be unsuitable for its Senior Officers, taking into account the market in which it operates and the qualifications it provides;
- uses appropriate information and evidence to make a judgement when it checks the suitability of its Senior Officers, both at the time of appointment and at regular intervals when in post – for example as a result of up-to-date voluntary disclosure or other appropriate checks.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- appoints a Senior Officer without knowing, or despite knowing, they were unsuitable for the post;
- does not ensure that its Senior Officers understand, at the time of appointment and once in post, what is expected of them in order to be suitable;
- does not identify or address its Senior Officers’ behaviours that make them unsuitable for the role;
- does not act promptly and appropriately when a Senior Officer becomes unsuitable for the role.

Condition A2 - Establishment in the EU or the EFTA

A2.1 An awarding organisation must ensure that it at all times –

(a) is ordinarily resident in the UK, Gibraltar or a member state of the European Union or the European Free Trade Association, or

(b) has a substantial presence in the UK, Gibraltar or a member state of the European Union or the European Free Trade Association.

There is currently no guidance on complying with this Condition

Condition A3 - Safeguards on Change of Control

Duty on Change of Control

A3.1 Where there is a Change of Control in relation to an awarding organisation, it must –

- (a) take all reasonable steps to ensure that the Change of Control does not have an Adverse Effect,
- (b) Procure that every other relevant person takes all reasonable steps to ensure that the Change of Control does not have an Adverse Effect, and
- (c) put in place a plan designed to ensure that the interests of Learners will be protected.

There is currently no guidance on complying with these Conditions

Condition A4 - Conflicts of interest

Identifying Conflicts of Interest

A4.1 An awarding organisation must identify and monitor –

- (a) all Conflicts of Interest which relate to it, and
- (b) any scenario in which it is reasonably foreseeable that any such Conflict of Interest will arise in the future.

A4.2 An awarding organisation must establish and maintain an up to date record of all Conflicts of Interest which relate to it.

Managing Conflicts of Interest

A4.3 An awarding organisation must take all reasonable steps to ensure that no Conflict of Interest which relates to it has an Adverse Effect.

A4.4 Where such a Conflict of Interest has had an Adverse Effect, the awarding organisation must take all reasonable steps to mitigate the Adverse Effect as far as possible and correct it.

Interests in assessment

A4.5 An awarding organisation must take all reasonable steps to avoid any part of the assessment of a Learner (including by way of Centre Assessment Standards Scrutiny) being undertaken by any person who has a personal interest in the result of the assessment.

A4.6 Where, having taken all such reasonable steps, an assessment by such a person cannot be avoided, the awarding organisation must make arrangements for the relevant part of the assessment to be subject to scrutiny by another person.

The written conflict of interest policy

A4.7 An awarding organisation must establish, maintain, and at all times comply with an up to date written conflict of interest policy, which must include procedures on

how the awarding organisation intends to comply with the requirements of this condition.

A4.8 When requested to do so by Ofqual in writing, an awarding organisation must promptly submit to Ofqual its conflict of interest policy, and must subsequently ensure that the policy complies with any requirements which Ofqual has communicated to it in writing.

Guidance on Condition A4

Interpretation

In the guidance below 'confidential assessment information' refers to both the contents of assessment materials and information about the assessment in relation to which confidentiality must be maintained under Condition G4.1.

Guidance on Conflicts of Interest (including personal interest)

What is a Conflict of Interest?

In general terms, a conflict of interest exists when an organisation or an individual has competing interests, which might impair its or their ability to make objective, unbiased decisions.

Conflicts of interest can arise in a variety of contexts. Our Conditions cover conflicts of interest that affect (or could affect) an awarding organisation's ability to develop, deliver and award regulated qualifications in a way that complies with its Conditions of Recognition. We define the term 'Conflict of Interest' in Condition J1 accordingly:

A conflict of interest exists in relation to an awarding organisation 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 a way that complies with its Conditions of Recognition,
- (b) a person who is connected to the development, delivery or award of qualifications by the awarding organisation 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 a way that complies with the awarding organisation's Conditions of Recognition, or
- (c) an informed and reasonable observer would conclude that either of these situations was the case.

The three parts of this definition are interrelated.

Part (a) of the definition covers Conflicts of Interest that relate to the awarding organisation. That is, situations where activities carried out by the awarding organisation itself (or on its behalf, or by a related company) might impair its ability to make objective, unbiased decisions about how best to develop, deliver or award its qualifications.

Similarly, part (b) covers Conflicts of Interest that relate to the individuals [connected to](#) any part of the development, delivery or award of its qualifications. That is,

situations where a particular individual's interests might impair their ability to make the objective, unbiased decisions that are necessary to ensure the awarding organisation can develop, deliver and award its qualifications in line with the Conditions.

Part (c) extends our definition of Conflict of Interest to include situations where an observer would perceive that an awarding organisation or individual has such a competing interest.

What requirements must an awarding organisation meet?

Condition A4 imposes a number of obligations on awarding organisations in relation to Conflicts of Interest. Awarding organisations must:

- identify and monitor all Conflicts of Interest which relate to it, as well as any scenario in which it is reasonably foreseeable that any such Conflict of Interest will arise in the future (Condition A4.1),
- establish and maintain an up to date record of all Conflicts of Interest which relate to it (Condition A4.2),
- take all reasonable steps to ensure no Conflict of Interest which relates to it has an Adverse Effect (Condition A4.3),
- in any case where Conflict of Interest nonetheless results in an Adverse Effect, take all reasonable steps to mitigate the Adverse Effect as far as possible and correct it (Condition A4.4), and
- establish, maintain and comply with a written conflict of interest policy (Condition A4.7).

The Conditions do not impose a general prohibition on an awarding organisation operating when Conflicts of Interest exist. Rather, they require awarding organisations to identify, monitor and manage those Conflicts of Interest with a view to preventing any Adverse Effect that might arise from them, and to minimise any Adverse Effect should one nonetheless occur.

However, some of the Conditions do prohibit certain Conflicts of Interest in specific circumstances:

- Condition A8.3 prohibits anyone with a personal interest in the outcome of an investigation into potential malpractice from carrying out investigations of suspected or alleged malpractice
- Condition G4.6 prohibits anyone with a personal interest in the outcome of the investigation into potential breaches of confidentiality from carrying out investigations of suspected or alleged breaches of confidentiality
- Condition I1.2 prohibits anyone with a personal interest in the decision being appealed from taking decisions on that appeal.

In addition, Conditions A4.6 and A4.7 requires awarding organisations to take all reasonable steps to avoid Learners being assessed by anyone with a personal interest in the outcome of the assessment, and – where it is unavoidable – to ensure any part of the assessment they do conduct is scrutinised by someone else who does not have such an interest.

What is a personal interest?

A personal interest is a Conflict of Interest that relates to a particular individual. All Conflicts of Interests that fall under part (b) of our definition are personal interests, as are any perceived Conflicts of Interest under part (c) that relate to individuals, rather than to the awarding organisation itself.

A personal interest can be financial or non-financial in nature.

In the situations covered by Conditions A4.6-A4.7, A8.3, G4.6 and I1.2, the relevant questions to ask are:

- Does the person carrying out the assessment, investigation or appeal has any reason or incentive to make anything other than a decision in line with the relevant Conditions?
- Would an informed or reasonable person conclude that such a reason or incentive exists?

Examples of situations where Conflicts of Interest and personal interests exist or could be perceived to exist

Example 1

An awarding organisation produces equipment or materials (such as textbooks) used in the teaching or assessment of its qualifications.

A Conflict of Interest arises here because the awarding organisation's decisions and actions in relation to its qualifications might also affect those other activities. For example, a decision to revise the content of the qualification might also create a commercial opportunity for the awarding organisation to sell new equipment or materials to Centres offering its qualifications.

In turn, consideration of these other commercial interests could impair – or be perceived to impair – the awarding organisation's ability to make objective, unbiased decisions about how best to develop, deliver or award its qualifications.

Example 2

An awarding organisation is part of a Group, and another company within that Group operates a number of Centres delivering its qualifications.

A Conflict of Interest arises here because the awarding organisation's decisions and actions in relation to its qualifications will also affect that company – for example, by imposing costs or administrative burden.

In turn, consideration of the interests of this related company could impair – or be perceived to impair – the awarding organisation's ability to make objective, unbiased decisions about how best to develop, deliver or award its qualifications.

In particular, the awarding organisation might have – or be perceived to have – an incentive not to uphold qualification standards if that would advance the commercial interests of the other Group company.

Example 3

Centre staff carry out assessment on behalf of an awarding organisation. The Centre's main source of income is payments based on the number of students who

pass the qualification. The pay and reward of Centre staff is directly linked to the Centre's overall income.

A Conflict of Interest arises here because an individual Assessor has a financial incentive to ensure that as many students as possible pass the qualification, as this will maximise both the Centre's and their own income.

That incentive could impair – or be perceived to impair – an Assessor's ability to make unbiased judgements about the extent to which a student has demonstrated the required knowledge, skills and understanding. In turn, that makes it less likely that an Assessor will in fact make an objective and unbiased decision.

Indeed, in this case Centre staff would most likely have a personal interest in the outcome of assessments for any students at their Centre, and Condition A4.6 would require the awarding organisation to take all reasonable steps to avoid using them as Assessors for those students. If this were unavoidable, Condition A4.7 would require any such assessment to be scrutinised by another person.

Example 4

An awarding organisation has received an allegation of malpractice, and is deciding who should investigate it.

Condition A8.3(b) requires investigators to be 'persons of appropriate competence'. In this case, one individual who meets that requirement is the Head of Centre.

Condition A8.3(b) also requires investigations to be undertaken by 'persons ... who have no personal interest in their outcome'. Whether or not the Head of Centre has such a personal interest here will depend on the facts of the case. It will be a matter of judgement for the awarding organisation.

Examples of situations where a Head of Centre has a clear personal interest in the outcome of an investigation would include cases where:

- the Head of Centre is accused of, or potentially implicated in, the alleged malpractice,
- the Head of Centre is related to, or has a close personal relationship with, any of the individuals accused of malpractice, and
- a finding of malpractice would have direct financial consequences for the Head of Centre (for example, if it would place a performance-related bonus, or their job, at risk).

Other cases will be less clear-cut, and awarding organisations may need to consider factors such as the nature, scale and scope of alleged or suspected malpractice when deciding whether or not the Head of Centre can conduct the investigation.

In broad terms, a Head of Centre is more likely to have (or be perceived to have) a personal interest in the outcome of an investigation where the alleged malpractice is more cultural or systemic.

Another factor awarding organisations may need to consider is the potential consequences of a finding of malpractice for the Centre (and, by extension, the Head of Centre). Such findings can affect the outcomes achieved by Learners, and the Centre's results in Government performance tables. They can also result in

disciplinary action against Centre staff, which might disrupt the running of the Centre – significantly so if multiple staff members were implicated in the malpractice.

The greater the potential impact on the Centre, the more likely it is that the Head of Centre will have (or be perceived to have) a personal interest in the outcome of a particular investigation.

There will also be situations where awarding organisations need to consider whether a different member of Centre staff (other than the Head of Centre) could conduct an investigation. This is permissible so long as all the requirements of Condition A8.3(b) are met. Many of the factors outlined above in respect of Heads of Centre may similarly be relevant for other Centre staff. Again, whether or not an individual has a personal interest in the outcome of an investigation will be a matter of judgement for the awarding organisation.

Example 5

An awarding organisation uses a large pool of markers for its assessments. Some of the more experienced markers also act as members of a panel which makes the final decision in respect of the outcome of appeals.

One appeal involves a Learner whose work was originally marked by one of the panel members. A Conflict of Interest arises here in relation to that panel member – because it is their own marking decisions that are being scrutinised on appeal.

That also means the panel member would have a personal interest in the decision being appealed, because the appeal would determine whether or not those marking decisions were appropriate.

As a result, Condition I1.2(b) would prohibit that panel member from taking decisions on this appeal. They would, however, be permitted to adjudicate appeals for other Learners whose work they had not marked.

In order to comply with Condition I1.2(c), the appeals panel would also need to include at least one decision maker who was not one of the awarding organisation's markers (and was not connected to the awarding organisation in some other way).

Example 6

An awarding organisation pays individuals who determine appeals.

A Conflict of Interest arises here because the fact that the individual is paid by an awarding organisation creates – or could be perceived to create – an incentive for the individual to make decisions on appeal cases that favour the awarding organisation.

In this instance, a Conflict of Interest is largely unavoidable. It may be unrealistic to expect the awarding organisation to use unpaid volunteers to determine appeals.

Our rules reflect this. The fact the awarding organisation pays the decision maker does not necessarily create a personal interest in the decision being appealed, so it is not prohibited by Condition I1.2(b).

Rather, Condition A4 requires the awarding organisation to monitor and manage that Conflict of Interest to prevent it having an Adverse Effect, and to mitigate and correct any Adverse Effect that nonetheless occurs.

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- ensures that its contractual arrangements with staff and third parties who have access to confidential assessment information clearly set out any obligations on those staff and third parties to manage conflicts of interest arising from other activities that they undertake;
- puts in place contractual arrangements which require, at a minimum, staff and third parties who have, or have had, access to confidential assessment information through the assessment development process (including quality assurance) to provide details to the awarding organisation of –
 - all instances in which such a person is, or has been, a Teacher for the relevant qualification, or is employed by a Centre at which that qualification is taught or delivered (even if that person does not themselves teach or deliver the qualification); and
 - all other conflicts of interest including personal conflicts such as, for example –
 - where a child, sibling, or other close family member is due to take the assessment in relation to which the person has confidential assessment information, and
 - where a partner or other close family member is teaching, or is due to teach, the relevant qualification;
- requires such details to be provided on an ongoing basis for as long as the relevant assessment information remains confidential;
- maintains records of all conflicts (using one or more documents) and retains relevant entries for as long as the relevant assessment information remains confidential or as long as required to undertake effective monitoring, whichever is later;
- puts in place contractual arrangements requiring staff and third parties who have had access to confidential assessment information to promptly notify it if they have been, or are currently, involved in the preparation of a resource designed to support the preparation of Learners for assessments for that qualification. One example of such a resource would be a textbook for the specification. This does not apply to the preparation of teaching resources or materials by a Teacher exclusively for Learners that he or she teaches (although the awarding organisation may choose to look at such materials in order to deter and detect any breach of confidentiality);
- monitors assessments set by staff and third parties who have been involved in the preparation of a resource designed to support the preparation of Learners for assessments for that qualification, to ensure that the fitness for purpose of those assessments has not been compromised by that resource. One example of such a resource would be a textbook for the specification. This does not apply to the preparation of teaching resources or materials by a Teacher exclusively for Learners that he or she teaches (although the awarding organisation may choose to monitor such materials in order to deter and detect any breach of confidentiality).
- investigates credible concerns which come to its attention in relation to conflicts of interest.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- did not know that the partner of a staff member involved in the development of confidential assessment information was employed at the time as a Teacher for the qualification for which the assessment would be taken;
- did not know that a third party who it contracted to develop or quality assure confidential assessment materials was employed at the time as a Teacher for the qualification for which the assessment would be taken;
- did not know that a third party who it contracted to assist with the development of confidential questions for an assessment – who did not teach the relevant qualification at the time – later became a Teacher of that qualification before the assessment was taken;
- did not know that a third party who modified confidential assessment materials worked at the time as a private tutor in respect of the qualification for which the assessment would be taken;
- where a current Teacher holds confidential assessment information, deletes relevant information from its conflicts register where the Teacher stops teaching the relevant qualification before the assessment is taken or before any monitoring takes place

Condition A5 - Availability of adequate resources and arrangements

Ensuring the ability to develop, deliver and award qualifications

A5.1 An awarding organisation must –

- (a) ensure that it has the capacity to undertake the development, delivery and award of qualifications which it makes available, or proposes to make available, in a way that complies with its Conditions of Recognition, and
- (b) take all reasonable steps to ensure that it undertakes the development, delivery and award of those qualifications efficiently.

A5.2 For the purposes of Condition A5.1, an awarding organisation must establish and maintain –

- (a) arrangements which will ensure that it retains at all times a Workforce of appropriate size and competence,
- (b) arrangements for the retention of data which will ensure that adequate information is available to it at all times,
- (c) arrangements which will ensure that sufficient technical equipment and support is available to it at all times,
- (d) appropriate management resources, and
- (e) appropriate systems of planning and internal control.

A5.3 For the purposes of Conditions A5.1 and A5.2, an awarding organisation must also –

- (a) regularly review its ongoing resource requirements and make appropriate changes to take into account the findings of each review, and
- (b) adequately plan any new developments which it proposes to introduce, and allocate sufficient resources to ensure that such developments are effectively introduced.

Ensuring financial viability

A5.4 An awarding organisation must ensure that it will have available sufficient financial resources and facilities to enable it to develop, deliver and award qualifications in a way that complies with its Conditions of Recognition until at least the time by which every Learner for a qualification it makes available has had the opportunity to complete that qualification.

Guidance on Condition A5

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- identifies and has in place, the resources it needs to develop, deliver and award its qualifications;
- has a system for reliably forecasting the demand for its qualifications and puts in place resources to meet this demand;
- is sufficiently flexible to act to address changes in its forecasted demand;
- acts quickly to identify and address any shortcomings in its capacity or ability to develop, deliver or award any of its qualifications that it could not reasonably have foreseen;
- collects and retains data that will allow it to meet its Conditions of Recognition, which could include, but not be limited to:
 - evidence of support for its qualifications (Condition E1);
 - qualitative and/or quantitative information from its monitoring of qualifications for features that could disadvantage particular Learners (Condition D2);
 - data that enables it to review the specified levels of attainment previously set for the qualification and similar qualifications it makes available (Condition H3);
 - the outcomes of its monitoring of its financial position and the steps it has taken to address any issues identified.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not identify or address inefficiencies in the development, delivery and award of its qualifications;
- cannot cope with demand for its qualifications;
- cannot facilitate demands from the regulator or other agencies, as required;
- fails to make appropriate amendments to the size and competence of its Workforce when it makes significant changes to the qualifications it offers;

- relies on IT systems that are prone to poor performance and/or repeated error;
- cannot access the up-to-date data it needs to be able to meet its Conditions of Recognition.

Condition A6 - Identification and management of risks

Identifying risks

A6.1 An awarding organisation must take all reasonable steps to identify the risk of the occurrence of any incident which could have an Adverse Effect.

Preventing incidents or mitigating their effect

A6.2 Where such a risk is identified, the awarding organisation must take all reasonable steps to –

- (a) prevent the incident from occurring or, where it cannot be prevented, reduce the risk of that incident occurring as far as is possible, and
- (b) prevent any Adverse Effect that the incident could have were it to occur or, where it cannot be prevented, mitigate that Adverse Effect as far as possible.

Contingency plan

A6.3 An awarding organisation must establish, maintain, and at all times comply with, an up to date written contingency plan.

A6.4 A contingency plan must be of sufficient detail and quality to allow the awarding organisation to mitigate, as far as possible, the Adverse Effect of any incident which has been identified by the awarding organisation as having a risk of occurring.

Guidance on Condition A6

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- identifies events that might have an Adverse Effect using risk management approaches;
- knows where ownership for its approach to risk management lies within the organisation;
- reviews and updates its risks using a systematic and consistent approach;
- takes action to prevent or deal with risks that might have an Adverse Effect;
- has a contingency plan that covers:
 - the triggers for implementation of the plan;
 - the impact on other parts of the business of implementing the plan;
 - the minimum requirements to maintain development, delivery and award of its qualifications;
 - communication plans for relevant external parties;
 - what needs to be done to return to business as usual;
- tests its contingency plan to make sure it can mitigate Adverse Effects, covering areas such as key business systems and processes, and makes any necessary changes following the tests.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not systematically consider the range and type of risks that may have an impact on its regulated activities;
- has an ad hoc or inconsistent approach to identifying and managing risks that relate to preventing or mitigating Adverse Effects;
- does not actively take steps to mitigate risks it has identified;
- fails to identify a foreseeable risk (where it might

Condition A7 - Management of incidents

A7.1 Where any incident occurs which could have an Adverse Effect, an awarding organisation must (whether or not it has previously identified a risk of that incident occurring) promptly take all reasonable steps to –

- (a) prevent the Adverse Effect and, where any Adverse Effect occurs, mitigate it as far as possible and correct it, and
- (b) give priority to the provision of assessments which accurately differentiate between Learners on the basis of the level of attainment they have demonstrated and to the accurate and timely award of qualifications.

There is currently no guidance on complying with these Conditions

Condition A8 - Malpractice and maladministration

Preventing malpractice and maladministration

A8.1 An awarding organisation must take all reasonable steps to prevent the occurrence of any malpractice or maladministration in the development, delivery and award of qualifications which it makes available or proposes to make available.

Investigating and managing the effect of malpractice and maladministration

A8.2 Where any such malpractice or maladministration is suspected by an awarding organisation or alleged by any other person, and where there are reasonable grounds for that suspicion or allegation, the awarding organisation must –

- (a) so far as possible, establish whether or not the malpractice or maladministration has occurred, and
- (b) promptly take all reasonable steps to prevent any Adverse Effect to which it may give rise and, where any such Adverse Effect occurs, mitigate it as far as possible and correct it.

Procedures relating to malpractice and maladministration

A8.3 For the purposes of this condition, an awarding organisation must –

- (a) establish, maintain, and at all times comply with, up to date written procedures for the investigation of suspected or alleged malpractice or maladministration, and
- (b) ensure that such investigations are carried out rigorously, effectively, and by persons of appropriate competence who have no personal interest in their outcome.

A8.4 Where a Centre undertakes any part of the delivery of a qualification which an awarding organisation makes available, the awarding organisation must take all reasonable steps to keep under review the arrangements put in place by that Centre for preventing and investigating malpractice and maladministration.

A8.5 An awarding organisation must, following a request from such a Centre, provide guidance to the Centre as to how best to prevent, investigate, and deal with malpractice and maladministration.

Dealing with malpractice and maladministration

A8.6 Where an awarding organisation establishes that any malpractice or maladministration has occurred in the development, delivery or award of qualifications which it makes available, or proposes to make available, it must promptly take all reasonable steps to –

- (a) prevent that malpractice or maladministration from recurring, and
- (b) take action against those responsible which is proportionate to the gravity and scope of the occurrence, or seek the cooperation of third parties in taking such action.

A8.7 Where an awarding organisation has any cause to believe that an occurrence of malpractice or maladministration, or any connected occurrence –

- (a) may affect a Centre undertaking any part of the delivery of a qualification which an awarding organisation makes available, it must inform that Centre, and
- (b) may affect another awarding organisation, it must inform that awarding organisation.

Guidance on Condition A8

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- has ways of working that reduce the risk of incidents of malpractice or maladministration occurring;
- makes sure that individuals involved in the development, delivery and award of its qualifications understand and routinely follow these ways of working;

- takes all reasonable steps to ensure that current (and former) staff and third parties do not provide information about its qualifications which is inaccurate or misleading;
- follows policies, practices and/or procedures that reduce the risk of malpractice and maladministration, covering, among other things:
 - plagiarism, collusion, tampering, breach of confidentiality of assessment materials;
 - incidents that occur outside of England (if it operates elsewhere);
- knows what to do if evidence of malpractice or maladministration comes to light, whether in the organisation itself or within a third party involved with the design, delivery or award of a qualification;
- acts quickly when it has evidence of malpractice or maladministration;
- investigates promptly any allegations for which there are reasonable grounds that current (or former) staff or third parties have provided inaccurate or misleading information to Centres or Teachers about its qualifications and, if the awarding organisation establishes that Teachers have been misinformed, takes reasonable steps to correct any misunderstandings with the Centres or Teachers that are affected;
- captures, logs and addresses all suspicions and evidence of malpractice.

The awarding organisation uses and regularly reviews a standardised investigations policy and approach that sets out:

- who investigates concerns about malpractice or maladministration;
- how an investigation is undertaken;
- how whistleblowers will be treated, and in such a way that individuals will not be prejudiced;
- when and how interested parties will be notified lawfully;
- how any interviews should be conducted;
- how facts will be gathered and evidence found, collated and stored;
- how evidence will be verified;
- how confidentiality of investigation materials is assured;
- how the records of its investigations will be presented and their accuracy assured;
- how and when any visits to Centres will be announced and undertaken;
- which principles will be followed when it undertakes an investigation with other bodies.

○
The awarding organisation has on record:

- clear terms of reference for the investigations that it has undertaken;
- a log of all allegations, including those that were not investigated, that it can cross-reference if new information is provided.

Where the awarding organisation finds that a Teacher has disclosed confidential assessment information, the awarding organisation ensures that, where appropriate, the Teaching Regulation Agency (TRA), or any organisation that carries out the same function in England or another jurisdiction, is notified. In considering whether or not such a referral is appropriate the awarding organisation considers whether:

- the Teacher in question is subject to professional regulation by the TRA or other teaching regulator; and

- the malpractice identified is serious based on the facts of the case and the seriousness of the sanction imposed by the awarding organisation.

The awarding organisation takes into account any guidance issued by the appropriate regulator. In general, a referral should be made where there was a deliberate or persistent disclosure in contravention of the requirements for the conduct of the assessment, or in breach of confidentiality of confidential assessment information, particularly where the action had, or was intended to have, a significant impact on the outcome of the assessment for at least one Learner.

The awarding organisation reminds any Centre at which the Teacher is employed of its obligation to consider a referral to the TRA. Where an awarding body has evidence that a Centre has made a referral, then it does not need to make a referral itself. If in doubt, an awarding organisation should err on the side of making a referral itself.

Where the awarding organisation finds that a person not subject to regulation by the TRA or another teaching regulator has disclosed confidential assessment information, it notifies any other professional regulator to which that person is subject, where appropriate.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- has used an individual or Centre to assist with, or lead on, an investigation when there is a suspicion or allegation that the individual or Centre was itself connected to, or responsible for, the malpractice and/or maladministration being investigated;
- cannot demonstrate that it has taken steps to prevent repeat incidents of previous cases;
- has not followed its own procedures when investigating a matter;
- has not properly evaluated, and, where required, validated evidence collected during an investigation;
- has not contacted relevant parties that are critical to the investigation itself, or to the outcomes of the investigation;
- has not kept records and documents relating to the incident and investigation for an appropriate period;
- has not been able to enforce action it has taken against those involved in malpractice or maladministration, and cannot demonstrate a good reason why it has been unable to do so;
- has failed to take all reasonable steps to prevent its current (or former) staff or third parties from providing inaccurate or misleading information about its qualifications;
- has failed to investigate promptly allegations for which there are reasonable grounds that current (or former) staff or third parties have provided inaccurate or misleading information about its qualifications to Centres or Teachers;
- has not, where it has established that current (or former) staff or third parties have provided inaccurate or misleading information about its qualifications

to Centres or Teachers, taken reasonable steps to correct any misunderstandings with the Centres or Teachers that are affected.

NOT YET IN FORCE

Section B - The awarding organisation and Ofqual

Rules about the relationship between awarding organisations and Ofqual, including in relation to responsible officers, reporting of information and the use of Ofqual's logo

Condition B1 - The role of the Responsible Officer

Appointing a Responsible Officer

B1.1 An awarding organisation must ensure that an individual is at all times appointed to act as its Responsible Officer.

B1.2 The awarding organisation must ensure that Ofqual is informed in writing of the name of the person from time to time appointed as its Responsible Officer.

The role of the responsible officer

B1.3 An awarding organisation must ensure that its Responsible Officer serves as the authoritative point of contact for Ofqual in relation to all activities undertaken by the awarding organisation which are of interest to Ofqual in accordance with the Act, including in particular –

- (a) any matters relating to its compliance with its Conditions of Recognition,
- (b) its ability to undertake the efficient development, delivery and award of qualifications,
- (c) the standards of qualifications that it makes available or proposes to make available,
- (d) any matters which may affect public confidence in qualifications, and
- (e) the accessibility of qualifications it makes available, including its compliance with Equalities Law.

B1.4 An awarding organisation must ensure that, where –

- (a) its Responsible Officer makes a statement to Ofqual (other than one which is required to be made by the Governing Body), Ofqual will be entitled to rely on that statement as being accurate and made on behalf of the awarding organisation, and
- (b) Ofqual gives to its Responsible Officer a statement, request, or notice addressed to the awarding organisation, Ofqual will be entitled to treat that statement, request, or notice as having been given to the awarding organisation.

B1.5 An awarding organisation must ensure that its Responsible Officer is effective in the role, including, in particular, by ensuring the Responsible Officer has sufficient authority to carry out that role.

Guidance on Condition B1

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The Responsible Officer:

- can explain his/her responsibilities and how he/she undertakes the role;
- is given authority to speak to Ofqual on behalf of the awarding organisation;
- undertakes the responsibilities of the role, as defined by the organisation;
- is an authoritative point of contact with Ofqual, as required by Condition B1.3, drawing on the expertise and information held by others within the organisation.

The awarding organisation:

- has identified its Responsible Officer;
- has defined and recorded the role and responsibilities of its Responsible Officer, such as within a job description/role specification or other appropriate record;
- enables its Responsible Officer to fulfil the role;
- provides the Responsible Officer with the support and access to information and other resources necessary for the role;
- responds quickly to any issues arising with the role, such as changing the definition of the role, providing extra support and/or changing the role holder;
- makes relevant staff aware of the role of the Responsible Officer;
- ensures the role of the responsible officer is covered when the normal post holder is away from the business for a given period of time due to illness, holiday or other appropriate considerations.

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The Responsible Officer:

- has provided Ofqual with misleading or inaccurate information;
- has not responded to requests for information;
- does not have the expertise and experience necessary for the role;
- does not have the authority to act on behalf of the organisation in its dealings with Ofqual;
- provides information to Ofqual that is contradicted by Senior Officers or other members of staff.

Condition B2 - The annual statement of compliance to Ofqual

Provision of the statement of compliance

B2.1 An awarding organisation must submit to Ofqual an annual statement of compliance.

B2.2 The statement of compliance must be –

- (a) made in any form and on any date as may be notified to the awarding organisation by Ofqual,

- (b) accurate,
- (c) formally approved by the Governing Body of the awarding organisation, and
- (d) signed by the chair of the Governing Body and the Responsible Officer.

Content of the statement of compliance

B2.3 The statement of compliance must specify either –

- (a) that the awarding organisation is fully compliant with its Conditions of Recognition at the date of the statement, or
- (b) that it is not so compliant, in which case the statement must describe each instance of non-compliance and the date by which the awarding organisation expects to rectify the failure.

B2.4 The statement of compliance must also specify either –

- (a) that the awarding organisation has no cause to believe that it will be likely to fail to comply with any of its Conditions of Recognition during the period of twelve months immediately following the date of the statement, or
- (b) that it does have such a cause for belief, in which case the statement must describe each instance of potential non-compliance, the grounds for believing it to be likely to occur, and the steps being taken by the awarding organisation in relation to it.

There is currently no guidance on these Conditions

Condition B3 - Notification to Ofqual of certain events

Condition B3 does not apply to Ofqual-regulated apprenticeship end-point assessments

Notification where an event could have an Adverse Effect

B3.1 An awarding organisation must promptly notify Ofqual when it has cause to believe that any event has occurred or is likely to occur which could have an Adverse Effect.

Specific examples of events which could have an Adverse Effect

B3.2 For the purposes of this condition, such events may in particular include those where –

- (a) there is a substantial error in the awarding organisation's assessment materials,
- (b) there has been a loss or theft of, or a breach of confidentiality in, any assessment materials,
- (c) the awarding organisation cannot supply assessment materials for a scheduled assessment date,

- (d) there has been a failure in the delivery of an assessment which threatens Assessors' ability to differentiate accurately and consistently between the levels of attainment demonstrated by Learners,
- (e) the awarding organisation will be unable to meet a published date for the issue of results or the award of a qualification,
- (f) the awarding organisation has issued incorrect results or certificates,
- (g) the awarding organisation believes that there has been an incident of malpractice or maladministration, which could either invalidate the award of a qualification which it makes available or could affect another awarding organisation,
- (h) the awarding organisation has (for any reason, whether inside or outside its control) incurred an increase in costs which it anticipates will result in an increase in its fees of significantly more than the rate of inflation,
- (i) the awarding organisation is named as a party in any criminal or civil proceedings or is subjected to a regulatory investigation or sanction by any professional, regulatory, or government body, or
- (j) a Senior Officer of the awarding organisation is a party to criminal proceedings (other than minor driving offences), is subject to any action for disqualification as a company director, or is subject to disciplinary proceedings by any professional, regulatory, or government body.

Notification of specified events in all cases

B3.3 An awarding organisation must promptly notify Ofqual if it is, or if it has cause to believe that it is likely to be, subject to –

- (a) a material change in its governance structure or legal status,
- (b) a change of control,
- (c) a merger between it and another body, or
- (d) any insolvency or bankruptcy proceedings.

B3.4 An awarding organisation must promptly notify Ofqual if it proposes to make available a qualification which is substantially different in type or content to any which it has previously made available.

Further requirements on the timing of notifications

B3.5 When it notifies Ofqual of an event in accordance with this condition, or as soon as possible afterward, an awarding organisation must also notify Ofqual of any steps that it has taken or intends to take to prevent the event having an Adverse Effect or to correct or mitigate that Adverse Effect if it occurs.

B3.6 An awarding organisation must not delay making a notification to Ofqual in accordance with this condition because relevant information is unavailable, but must notify based on all the information that it has and provide further information to Ofqual once it becomes available.

Guidance on Condition B3

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- identifies events that have occurred or are likely to occur that could have, or has had, an Adverse Effect and notifies Ofqual promptly;
- has staff who take timely, informed decisions and exercise appropriate judgement when deciding when to report events to Ofqual, and when managing events;
- notifies Ofqual of events that have occurred or are likely to occur that could have, or has had, an Adverse Effect irrespective of whether the event is being managed through established contingency plans;
- has clear decision-making and timely escalation processes for identifying and determining whether an event could have, or has had, an Adverse Effect;
- balances the need to gather sufficient evidence to identify whether an Adverse Effect has occurred or is likely to occur, with the need promptly to notify Ofqual of the event, prioritising prompt notification over waiting for all evidence to be available, taking account of:
 - the actual or potential impact on Learners;
 - its assessment of the seriousness of the event, taking account of the factors set out in the guidance on making a notification below;
 - the urgency of any actions required to mitigate the actual or potential Adverse Effect (for example, because of proximity to an assessment on a specific date, or to the issuing of results or certificates);
 - how long it will take the awarding organisation to gather evidence and decide on, and take, key decisions or actions;
 - the actual or potential impact on public confidence, such as if the event has been or is likely to be reported in the media or on social media;
- provides information to Ofqual when making a notification that includes:
 - what has happened or is likely to happen and why;
 - how and when it became aware of the event;
 - its assessment of the seriousness of the event and of its actual or potential Adverse Effect, and the basis on which this assessment was made, taking account of any information from Ofqual (for example if Ofqual has asked for specific information about certain types of event) about how particular types of event should be reported;
 - the possible or actual impact of the event on Learners or public confidence (in terms of both the type of Learner(s) affected and volume of Learners affected), including any impact on the standards or validity of qualifications;
 - the actions it has taken or plans to take to prevent, correct or mitigate as far as is possible any actual or potential Adverse Effect, to identify its cause and to prevent the event from reoccurring;
 - the qualifications, subjects and units affected, including the dates and details of any affected assessments;
 - its assessment of the scale of the event including, where possible, the number of Centres and Learners affected, with a country location breakdown;

- any relevant supporting information or documents relating to the event, for example, copies of assessment materials in the case of question paper errors or details of system failures in the event of an issue with an online assessment system;
- how it is monitoring the event to ensure its assessment of the seriousness remains accurate and that its actions remain appropriate;
- whether Centres, Learners, media or other stakeholders are aware and details of any complaints or correspondence it has received about the event;
- the expected timescales for resolving and/or mitigating the impact of the event;
- how it will keep Ofqual informed throughout its management of the event;
- any other organisations or agencies that are involved;
- provides sufficiently detailed information to enable Ofqual to understand the nature of the event and the actions taken by the awarding organisation;
- where full information is not available at the point when the awarding organisation notifies Ofqual, provides an indication of what further information will be provided and when;
- in supplying information to Ofqual, takes account of requirements relating to the protection of personal information, and where relevant, the need to protect the confidentiality of assessment materials;
- provides regular updates and relevant information as agreed with Ofqual, throughout its management of the event;
- keeps its decisions about whether or not an event has an actual or potential Adverse Effect under review as circumstances and/or its understanding of the event change;
- notifies Ofqual of any event under B3.3 sufficiently far ahead of any changes taking place and provides relevant supporting evidence as required by Ofqual, which could include:
 - a description of any changes which are being made;
 - relevant documents which confirm any changes or the likely nature of potential changes;
 - plans for how the awarding organisation will ensure that no Learners are unfairly advantaged or disadvantaged as a result of any change;
 - the steps it will take to make sure it will remain compliant with its Conditions of Recognition;
- notifies Ofqual (as required by Condition B3.4) of its plans to offer qualifications which are substantially different before it starts marketing, promoting or offering them, for example when it intends to offer qualifications:
 - of a nature which it does not have experience offering;
 - in a sector for which it has not previously offered qualifications;
 - at a level which it has not previously offered qualifications;
 - using a method of assessment it has not previously used.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not have a clear and effective process for managing event notifications;
- fails to inform Ofqual promptly and provide sufficient detail of events which have had, or could have an Adverse Effect;

- does not notify Ofqual of an event which has had, or could have an Adverse Effect before Ofqual becomes aware of it through other means (for example through complaints by Learners or Centres, media reports or reports from other agencies) where it would have been possible to do so;
- does not provide regular and timely updates for an event which it has reported, as it manages the event;
- does not manage event notifications effectively, leading to a delayed or inappropriate resolution which adversely impacts Learners, public confidence or standards;
- experiences reoccurrences of the same or similar event where this could have been prevented;
- does not respond fully or accurately to requests from Ofqual for further information;
- provides inaccurate reports of events that could have an Adverse Effect, such as:
 - inaccurate reporting of the number of events which occur;
 - inaccurate or misleading assessments of the seriousness of the event;
- does not alert Ofqual to a material change in its governance or ownership or until after the event;
- does not alert Ofqual when it becomes evident its financial security is at risk;
- does not alert Ofqual to its plans to introduce substantially different qualifications sufficiently far ahead of submitting them to the Register (to allow Ofqual to consider the need for any additional requirements that may apply, such as an accreditation requirement or special condition), or where an accreditation requirement applies, before it submits them for accreditation (to allow time for the accreditation of that qualification);
- starts marketing a qualification, registering Learners or offering a qualification that is substantially different in type or content to any qualification it has previously made available before notifying Ofqual of its intentions.

Condition B4 - Notice to provide information to Ofqual

B4.1 Where Ofqual serves a written notice on an awarding organisation requiring the awarding organisation to provide it with any information that it seeks for the purpose of performing its functions, the awarding organisation must –

- (a) comply with the terms of that notice, and
- (b) ensure that all information provided to Ofqual in response to such a notice is accurate and complete.

B4.2 Any such notice may include terms which –

- (a) specify the time within which the information is to be provided,
- (b) specify a form in which the information is to be provided,
- (c) require that the information is accompanied by such supporting documents or data as may be described, and
- (d) require an awarding organisation to provide information which is already in its possession, or which has to be created or obtained by it.

There is currently no guidance on complying with these Conditions

Condition B5 - Representations regarding qualifications

Statements regarding qualifications which are not regulated qualifications

B5.1 An awarding organisation must not (and must take all reasonable steps to ensure that any person connected with it does not) make any statement that would be likely to lead Users of qualifications to believe that a qualification it makes available is a regulated qualification when it is not a regulated qualification.

Advertising and promotion of qualifications

B5.2 An awarding organisation must not (and must take all reasonable steps to ensure that any person connected with it does not) advertise or promote its qualifications in a manner that is likely to be misleading to Users of qualifications.

Use of Ofqual's Logo

B5.3 An awarding organisation must ensure that its use of Ofqual's Logo complies with any Logo Requirements and Certificate Requirements which may be published by Ofqual and revised from time to time.

Guidance on Condition B5

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- ensures that others connected to it – including Centres – who are involved in the development, delivery and award of its qualifications, accurately differentiate between regulated and unregulated qualifications and other products when representing its qualifications;
- clearly differentiates between regulated and unregulated qualifications in its materials, publications and on its website, so there is no scope for confusion by Users of qualifications.

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not deal promptly or effectively with misleading statements or materials about the regulated status of its qualifications;
- is the subject of complaints about the status of its products;
- has not made clear on a website or in documentation which of its qualifications are regulated by Ofqual and which are not;
- has used Ofqual's Logo in ways that do not meet the Logo Requirements and/or Certificate Requirements, including, but not limited to, the use of Ofqual's Logo on:
 - marketing materials;
 - websites;

- qualification specifications;
- unit certificates;
- unregulated qualifications

Condition B6 - Cooperation with Ofqual

B6.1 An awarding organisation must provide Ofqual with all such assistance as it may request for the purpose of undertaking, in accordance with its functions, an investigation into, or other monitoring in relation to, the activities of that awarding organisation.

There is currently no guidance on complying with this Condition

Condition B7 - Compliance with Regulatory Documents

B7.1 Where a Regulatory Document requires an awarding organisation to take or to refrain from taking any action, the awarding organisation must comply with that requirement.

B7.2 Where a Regulatory Document sets out guidelines or principles of good practice in relation to any behaviour on the part of an awarding organisation, the awarding organisation must have regard to those guidelines or principles before it engages in that behaviour.

There is currently no guidance on complying with these Conditions

Condition B8 - Compliance with undertakings given to Ofqual

B8.1 An awarding organisation must comply with the requirements of any undertaking which –

- (a) it has given to Ofqual,
- (b) is in writing, and
- (c) states that it is an undertaking given in accordance with this condition.

There is currently no guidance on complying with these Conditions

Logo Requirements

General Condition B5.3 requires an awarding organisation to ensure that its use of Ofqual's Logo complies with the requirements set out below.

Use of Ofqual's Logo

An awarding organisation may only use Ofqual's Logo on qualification certificates and credit certificates that refer exclusively to qualifications published on the Register. As specified in our Certificate Requirements, Ofqual's Logo must feature on the front of these certificates.

An awarding organisation may not use Ofqual's Logo:

- on unit certificates or any other certificates
- for any other purposes (except with explicit written permission from Ofqual)

Logo to use - until 30 April 2020

On all certificates issued on or before 30 April 2020, an awarding organisation must use a high-resolution (either colour or grayscale) version of one of the two logos set out below:



Ofqual Logo with with exclusion zone



Alternative Ofqual Logo with exclusion zone

Logo to use - from 1 May 2020

On all certificates issued on or after 1 May 2020, an awarding organisation must use a high-resolution (either colour or grayscale) version of Ofqual's Logo (below):



Ofqual Logo with exclusion zone

Formatting requirements

An awarding organisation must not:

- alter Ofqual's Logo in any other way, including (but not limited to) by changing its colours, or by distorting, skewing, stretching, tilting or angling it
- place Ofqual's Logo against a pattern or a background colour
- place any other graphic material or type within the exclusion zone illustrated below - note that the size of the exclusion zone depends on the size of Ofqual's Logo used.

You may also find it helpful to read our guidance (published jointly with CCEA Regulation and Qualifications Wales) on using regulators' logos on certificates.

NOT YET IN FORCE

Section C - Third parties

Rules about arrangements with third parties, including Centres and publishers

Condition C1 - Arrangements with third parties

C1.1 Where an awarding organisation arranges for a third party to undertake, on its behalf, any part of the development, delivery or award of qualifications which the awarding organisation makes available, or proposes to make available, the awarding organisation must –

- (a) ensure that the arrangements which it establishes with that third party enable the awarding organisation to develop, deliver and award qualifications in a way that complies with its Conditions of Recognition, and
- (b) monitor and, where appropriate, enforce such arrangements so as to ensure that it is able to develop, deliver and award qualifications in a way that complies with its Conditions of Recognition.

C1.2 An awarding organisation must take all reasonable steps to ensure that, in making any such arrangements, it does not impose unnecessary or unduly burdensome requirements on third parties

Guidance on Condition C1

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- evaluates a third party's ability and willingness to act in a way that will enable the awarding organisation to comply with the conditions before entering into an arrangement with the third party;
- has arrangements with third parties that reflect the conditions appropriate to the third parties' roles (examiners, IT providers, printers and couriers, for example) that enable it to meet its Conditions of Recognition;
- has up-to-date records of the third parties with which it works and of their roles in the development, delivery and award of its qualifications;
- makes clear to the third parties with which it works what it expects of them;
- has acted quickly and appropriately when it has found third-party activity puts at risk its ability to comply with its Conditions of Recognition enforcing such arrangements where necessary;
- seeks feedback from third parties on the burden of its arrangements on them and reduces any such burden where possible.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not identify where a third party is putting its compliance with the conditions at risk;
- breaches its conditions because of the actions of a third party;
- places unnecessary requirements on its third parties.

Condition C2 - Arrangements with Centres

C2.1 Where a Centre undertakes any part of the delivery of a qualification on behalf of an awarding organisation, this condition applies in addition to the requirements in Condition C1.

C2.2 Where this condition applies, an awarding organisation must ensure that arrangements between it and the Centre include a written and enforceable agreement.

C2.3 That agreement must in particular include provisions which –

- (a) require the Centre to take all reasonable steps to ensure that the awarding organisation is able to comply with its Conditions of Recognition,
- (b) require the Centre to take all reasonable steps to comply with requests for information or documents made by the awarding organisation or Ofqual as soon as practicable,
- (c) require the Centre to assist the awarding organisation in carrying out any reasonable monitoring activities and to assist Ofqual in any investigations made for the purposes of performing its functions,
- (d) set out all the requirements with which the Centre must comply in order to continue to deliver the qualification,
- (e) establish a sanctions policy to be applied in the event that the Centre fails to comply with these requirements,
- (f) require the Centre to retain a Workforce of appropriate size and competence to undertake the delivery of the qualification as required by the awarding organisation,
- (g) require the Centre to have available sufficient managerial and other resources to enable it effectively and efficiently to undertake the delivery of the qualification as required by the awarding organisation,
- (h) require the Centre to undertake the delivery of the qualification required by the awarding organisation in accordance with Equalities Law,
- (i) require the Centre to operate a complaints handling procedure or appeals process for the benefit of Learners,
- (j) set out any arrangements in relation to Centre Assessment Standards Scrutiny that the awarding organisation will undertake or that will be undertaken on its behalf, and require the Centre to retain any data (including evidence generated by Learners and marked by the Centre) that the awarding

organisation considers necessary to allow it to undertake that scrutiny effectively,

(k) specify a process to be followed in any withdrawal of the Centre (whether voluntary or not) from its role in delivering a qualification, and

(l) require the Centre to take all reasonable steps to protect the interests of Learners in the case of such a withdrawal.

C2.4 In the event that the Centre withdraws from its role in delivering a qualification, the awarding organisation must take all reasonable steps to protect the interests of Learners.

C2.5 The awarding organisation must, in respect of the parts of the delivery of qualifications which the Centre undertakes:

(a) provide effective guidance to the Centre, and

(b) make available to the Centre any information which, for the purposes of that delivery, the Centre may reasonably require to be provided by the awarding organisation.

Guidance on Condition C2

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- sets out clearly to Centres what it requires them to do, making necessary information available and providing appropriate support and guidance (for example training and/or publications), including:
 - the requirements the Centre must meet, including those relating to the Centre's staff;
 - the requirements the Centre must meet and the steps it must take in the event of any incident;
 - its requirements for the delivery of any part of a qualification that a Centre undertakes on its behalf, for example arrangements for security of assessments, conduct of assessments and examinations, managing assessment and examination timetabling, management of centre-assessed work and authentication of Learners;
 - its arrangements for a Centre to report to the awarding organisation instances where its requirements are not being met;
 - any service level agreements between the awarding organisation and the Centre (for example entry requirements, registration of learners and applications for Reasonable Adjustments and Special Consideration);
 - any requirements relating to the use of third parties by Centres (for example satellite centres or training providers);
 - its arrangements for Centres to identify, investigate and report cases of suspected or actual malpractice or maladministration to the awarding organisation and the awarding organisation's procedures for taking action;
- uses a Centre approval process which takes reasonable steps to ensure it only enters into an agreement with a Centre that has the capacity and capability to

- comply with its arrangements for all qualifications it will deliver. The approval process should include an assessment of the Centre's:
- ability to comply with the awarding organisation's requirements;
 - capability to deliver the qualification to the number of Learners it aims to register;
 - internal management controls;
- maintains an up-to-date record of the Centres with which it has agreements and these agreements;
 - uses an agreement with a Centre which:
 - requires the Centre to seek written approval from the awarding organisation before permitting a third party (for example training providers or satellite centres) to deliver any part of its qualifications, including its assessments;
 - places responsibility on the Centre to monitor whether any third party involved with the delivery and assessment of the qualification on its behalf has appropriate capacity and capability;
 - requires the Centre to agree in writing to its requirements before the awarding organisation approves the use of a third party;
 - before agreeing to a Centre's request that a third party should be involved with the delivery of any part of a qualification, assures itself that the involvement of the third party will not put at risk the Centre's ability to comply with the agreement or the awarding organisation's ability to comply with its Conditions of Recognition;
 - monitors Centres' adherence to the agreements to identify Centres that are not compliant, or that are at risk of failing to comply, including through routine and unannounced visits to Centres;
 - does not approve a Centre that it cannot effectively monitor, for example because of its location;
 - ensures that Centres only register Learners for qualifications whom they reasonably expect to complete the qualification and that they have the resources, capability and capacity to deliver the qualification to the expected number of Learners;
 - provides information to Centres to enable them to take appropriate steps to identify and notify the awarding organisations of any disabled Learners for whom the awarding organisation may need to make a Reasonable Adjustment, in time for such adjustment to be made;
 - collects and analyses appropriate data and information from Centres which helps inform its view of the risk that the Centre will not comply with its requirements;
 - identifies and addresses potential or actual Centre non-compliances in a timely way;
 - investigates Centres which it believes might not be, or are not, complying with its Centre agreement;
 - where it identifies Centres which are not acting in accordance with the agreement, takes appropriate action to secure compliance, or where necessary, applies appropriate and proportionate sanctions;
 - has a credible and effective approach to the use of sanctions that encourage compliance;
 - notifies other awarding organisations and relevant agencies with a role in protecting the interests of Learners where there are issues with the actions of Centres (subject to any requirements relating to the protection of such data);

- maintains records of interactions with Centres, including, for example, those relating to inspections or malpractice investigations and monitors and manages the risks presented by these Centres;
- identifies risks to Learners arising from Centre closures or withdrawals and puts in place effective arrangements to manage risks to Learners, including arrangements to allow Learners to complete assessments, in line with the Centre's contingency plans;
- seeks feedback and keeps its arrangements with its Centres under review, using feedback to improve its procedures and ensuring that these do not impose unnecessary burdens on Centres.

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- enters into agreements with Centres which do not have the capability, capacity or resources to act in accordance with its agreement;
- does not have written agreements with its Centres, or has agreements between the Centre and the awarding organisation which do not include all the provisions listed under C2.3;
- does not monitor Centres' compliance with the agreement in a way which would enable it to identify and take action to correct or mitigate any issues;
- does not take responsibility for the way in which assessments are delivered by Centres, including the marking and moderation of assessments;
- does not enforce the agreement or impose appropriate sanctions when a Centre has breached the agreement;
- has, and takes no action against, any Centres which:
 - are not aware of their responsibilities under this agreement;
 - do not meet the requirements set by the awarding organisation and deliver qualifications in a way that is contrary to their agreement;
 - register Learners for the qualification where the Centre does not have the capacity, capability or resources to deliver the qualification to these Learners;
 - do not enable the awarding organisation to comply with the requirements of the General Conditions, for example by misrepresenting or mis-selling qualifications;
 - have not properly dealt with complaints or appeals from Learners;
- does not have suitable arrangements in place to ensure that Learners are not unfairly disadvantaged if a Centre withdraws from its role in delivering the qualification.

Condition C3 Arrangements with publishers

C3.1 Where an awarding organisation has in place an endorsement process, the awarding organisation must:

- (a) take all reasonable steps to ensure that the endorsement process does not have an Adverse Effect, and
- (b) publish the criteria which it uses to decide whether or not to endorse a particular resource.

C3.2 For the purposes of this condition, an ‘endorsement process’ is a process by which the awarding organisation endorses resources which are designed to support the preparation of Learners and persons likely to become Learners for assessments for a qualification which it makes available or proposes to make available.

Guidance on Condition C3

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- considers the Adverse Effects that endorsement of resources could have when developing the criteria which it uses to decide whether or not to endorse a particular resource, and seeks to prevent or mitigate those Adverse Effects through those criteria;
- gives clear guidelines to relevant staff and contractors on engagement with publishers seeking endorsement of their resources;
- takes all reasonable steps to ensure that its endorsement is signalled in the same way for all endorsed resources (through, for example, the use of its logo or text expressing the endorsement), including those produced by the awarding organisation itself or an affiliate company;
- takes all reasonable steps to ensure that publishers of endorsed resources do not market an endorsed resource in a way which implies that the resource contains privileged examiner insight or that its use is necessary for the successful completion of an assessment or qualification.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not consider the possible Adverse Effects that endorsement of resources could have when developing the criteria which it uses to decide whether or not to endorse a particular resource, or does not seek to prevent or mitigate those Adverse Effects through those criteria;
- does not give clear guidelines to relevant staff and contractors on engagement with publishers seeking endorsement of their resources;
- does not take reasonable steps to ensure that its endorsement is signalled in the same way for all endorsed resources (through, for example, the use of its logo or text expressing the endorsement), including those produced by the awarding organisation itself or an affiliate company;
- does not take all reasonable steps to ensure that publishers of endorsed resources do not market an endorsed resource in such a way as to imply that the resource contains privileged examiner insight or that its use is necessary for the successful completion of an assessment or qualification.

Section D - General requirements for regulated qualifications

General rules, including about qualification fitness for purpose and accessibility, and about reviewing approach, enquiries and complaints, withdrawing qualifications and information for teachers.

Condition D1 - Fitness for purpose of qualifications

D1.1 An awarding organisation must ensure that each qualification which it makes available is fit for purpose.

D1.2 A qualification will only be fit for purpose if that qualification, as far as possible, secures the requirements of –

- (a) Validity,
- (b) Reliability,
- (c) Comparability,
- (d) Manageability, and
- (e) Minimising Bias.

D1.3 In any case where there is a conflict between two or more of the requirements in Condition D1.2, an awarding organisation must secure that it achieves a balance between those requirements that –

- (a) ensures its compliance with its Conditions of Recognition, and
- (b) is objectively the optimum balance in relation to the particular qualification.

There is currently no guidance on complying with these Conditions

Condition D2 - Accessibility of qualifications

D2.1 An awarding organisation must ensure that it complies with the requirements of Equalities Law in relation to each of the qualifications which it makes available.

D2.2 An awarding organisation must monitor qualifications which it makes available for any feature which could disadvantage a group of Learners who share a particular Characteristic.

D2.3 Where an awarding organisation has identified such a feature, it must –

- (a) remove any disadvantage which is unjustifiable, and
- (b) maintain a record of any disadvantage which it believes to be justifiable, setting out the reasons why in its opinion the disadvantage is justifiable.

Guidance on Condition D2

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- has an up-to-date understanding of Equalities Law relevant to qualification design, delivery and award;
- takes into account, when designing a qualification, information and advice on how different groups might be affected by particular features;
- collects and analyses evidence to identify any features of its qualifications that have disadvantaged, or could disadvantage, a group of Learners who share a particular Characteristic, for example from Learner surveys, focus groups, statistical analysis, monitoring of Learner profiles and/or specialist reviews;
- removes, where possible, or minimises features of its qualifications or assessments that have disadvantaged or might disadvantage a group of Learners sharing a particular Characteristic.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- breaches Equalities Law;
- does not deal proportionately and appropriately with concerns from Learners or other stakeholders about possible bias in its qualifications;
- does not actively monitor whether any features of its qualifications disadvantage particular Learners, or take appropriate steps to remove or reduce any such disadvantage.

Condition D3 - Reviewing approach

Review of approach

D3.1 An awarding organisation must keep under review, and must enhance where necessary, its approach to the development, delivery and award of qualifications, so as to assure itself that its approach remains at all times appropriate.

Evidence to inform approach

D3.2 An awarding organisation must –

- (a) have due regard to all information, comments and complaints received from Users of qualifications in relation to the development, delivery and award of qualifications, and
- (b) identify and give due regard to any credible evidence which suggests that a change in its approach to the development, delivery and award of qualifications is required in order to ensure that the approach remains appropriate.

D3.3 Where an event relating to an awarding organisation (or an event, of which it is or should be aware, relating to any other awarding organisation) has had an Adverse

Effect, the awarding organisation must review and revise where necessary its approach to the development, delivery and award of qualifications to ensure that its approach remains appropriate.

Guidance on Condition D3

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- reviews its approach to developing, delivering and awarding its qualifications in a regular and systematic manner, for example by refreshing its approaches in light of experience and feedback and undertaking in-depth periodic reviews;
- changes its approach to developing, delivering and awarding qualifications where it has identified a need, for example because:
 - it finds a systemic problem with its approaches through monitoring, its investigation into an event that has or may result in an Adverse Effect or through complaints it has received;
 - it has submitted qualifications for accreditation which were found not to comply with the accreditation criteria;
 - it has received information about an Adverse Effect (for example from another awarding organisation) that could potentially have an impact on the way it develops, delivers or awards its own qualifications;
 - it has received feedback from the regulator through audits, research or other means;
- reviews each of its qualifications in a regular and systemic way, for example by annual monitoring of the performance of a qualification and more in-depth reviews every three to five years;
- during its review of a qualification includes an independent element to ensure objectivity and challenge. This could be, for example, through one or more of:
 - employers from the sector the qualification is designed for;
 - organisations that rely on the qualification, for example further or higher education institutions;
 - other external stakeholders including Centres;
 - internal staff who were not involved in originally developing, delivering or awarding the qualification;
- during its review of the development, delivery and award of a qualification takes into account and acts, as necessary, on any feedback received from Ofqual (for example, decisions from a previous accreditation submission, or outcomes of relevant audits);
- seeks, records and analyses feedback from Users of qualifications (including, for example, employers and professional bodies who have an interest in the qualification and who may generate evidence about whether or not a qualification is meeting its objective and takes it into account during its review of a qualification);
- evaluates, records and, where appropriate, implements any improvements to its approach to developing, delivering and awarding a qualification in a timely and effective way. The awarding organisation ensures that, as far as possible,

Learners are not unfairly advantaged or disadvantaged as a result of the way in which it implements any changes;

- takes all reasonable steps, following the occurrence of an Adverse Effect, to revise its approach to the development, delivery and award of qualifications so as to reduce the likelihood of the Adverse Effect reoccurring in respect of any of its qualifications.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not routinely review its approach to developing, delivering or awarding a qualification;
- does not consider whether it should review its approach in light of information of Adverse Effects affecting another awarding organisation of which it should be aware;
- does not seek or respond, where appropriate, to feedback from Users of qualifications;
- does not consider and act on information received from Users of qualifications or from Ofqual that identifies potential or actual issues with its approach to developing, delivering or awarding a qualification;
- does not, without good reason, make necessary changes to a qualification that its review of that qualification has highlighted as necessary;
- changes its approach to developing, delivering or awarding a qualification in a way that has, or may have, an adverse impact on Learners, unless it has good reason for doing so;
- fails to consider, when dealing with an issue that arises in respect of one of its qualifications, whether the issue may affect other qualifications too.

Condition D4 - Responding to enquiries and complaints procedures

Responding to enquiries from Users of qualifications

D4.1 An awarding organisation must answer accurately, fully and within a reasonable time any reasonable enquiries received by it from Users of qualifications.

D4.2 Nothing in this condition obliges an awarding organisation to disclose information if to do so would breach a duty of confidentiality or any other legal duty.

Complaints procedures

D4.3 An awarding organisation must establish, maintain, publish and at all times comply with a written complaints procedure.

D4.4 The complaints procedure must in particular include procedures and timescales for –

- (a) responding to complaints, and
- (b) dealing with the subject matter of complaints.

There is currently no guidance on complying with these Conditions

Condition D5 - Compliance of qualifications with Regulatory Documents

D5.1 An awarding organisation must ensure that in the development, delivery and award of any qualification which it makes available, or proposes to make available, it –

- (a) complies with any requirement relating to that qualification which is set out in a Regulatory Document.
- (b) has regard to any guidelines and principles of good practice relating to that qualification which are set out in a Regulatory Document.

There is currently no guidance on complying with these Conditions

Condition D6 - Management of the withdrawal of qualifications

D6.1 For the purposes of this condition, an awarding organisation withdraws a qualification at the point in time when it first –

- (a) ceases to register Learners for the qualification,
- (b) ceases to deliver or award that qualification to Learners,
- (c) surrenders its recognition in respect of that qualification, or
- (d) has its recognition withdrawn by Ofqual in respect of that qualification.

D6.2 Where an awarding organisation intends to withdraw, otherwise believes it to be likely that it will withdraw, or is obliged to withdraw, a qualification, it must take all reasonable steps to protect the interests of Learners in relation to that qualification.

D6.3 An awarding organisation must give to Ofqual reasonable notice of its anticipated withdrawal of a qualification, and must do so prior to the time at which it provides that information to any Learners, Centres, or purchasers of qualifications.

D6.4 Where an awarding organisation intends to withdraw, or is obliged to withdraw, a qualification, it must –

- (a) promptly prepare, maintain, and comply with a written withdrawal plan, which must specify how the interests of Learners in relation to that qualification will be protected, and

- (b) provide clear and accurate information about the withdrawal to Learners, Centres, and purchasers of qualifications who are likely to be affected by the withdrawal.

D6.5 An awarding organisation must ensure that any withdrawal plan which it prepares complies with any requirements which Ofqual has communicated to it in writing.

Guidance on Condition D6

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

In respect of the withdrawal of qualifications, the awarding organisation:

- regularly monitors the extent to which its qualifications are taken by Learners (such as reviewing registration and certification data). After analysing this information or the outcome of any other review(s) of its qualifications, the awarding organisation puts in place steps to withdraw any qualifications:
 - for which it is not currently making awards, or for which it has never made an award and which it is unlikely to award in the near future; or
 - that are no longer fit for purpose; or
 - that no longer meet its regulatory requirements; or
 - that it has replaced with an alternative qualification;
- gives notice to Ofqual of its intention to withdraw a qualification within a reasonable timeframe and before it communicates this to Learners, Centres and purchasers of the qualification;
- promptly sets an operational end-date and certificate end-date when it decides to withdraw a qualification and provides this information to Centres and other relevant Users (taking into account the uptake and purpose of the qualification);
- includes in its withdrawal plan:
 - clear timescales;
 - an explanation of why the qualification is being withdrawn;
 - information about the numbers of Learners or Centres that may be affected;
 - information about how the interests of Learners taking the qualification will be protected;
- delivers the withdrawal plan effectively, keeps the plan under review (including seeking and analysing feedback from Centres about how the withdrawal is progressing) and changes the plan, as necessary;
- provides relevant and timely information to Users about the qualification being withdrawn. This information is proportionate to the impact of the withdrawal, and could include (where applicable):
 - which qualifications are being withdrawn and why;
 - how the withdrawal could affect Learners;
 - dates for final registrations for new Learners, and assessments and retake opportunities for existing Learners;
 - information about deadlines for completing particular actions;
 - arrangements for Learners to switch to alternative qualifications, if appropriate;
- taking into account the uptake and purpose of the qualification, provides timely and relevant information to Learners, Centres and purchasers of qualifications

about alternative or replacement qualifications that are available and how these differ from the qualification being withdrawn;

- where a qualification is withdrawn as a regulated qualification but continues to be available as an unregulated one, communicates the changed nature of its regulatory status to avoid Users of qualifications being confused or misled and ensure it complies with the requirements of Condition B5.1.

In addition to the guidance above, in relation to withdrawal or surrender of recognition which will lead to the withdrawal of qualifications (General Conditions D7.1(c) and (d)), compliance will be indicated where the awarding organisation:

- approaches Ofqual at an early stage to discuss its action plan relating to the surrender of its recognition;
- uses staff who have the necessary capability to manage the withdrawal or surrender of its recognition and the associated withdrawal of the qualifications.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not act upon a requirement to withdraw one or more of its qualifications following a decision by Ofqual to withdraw its recognition in respect of those qualifications;
- does not give appropriate notice to Users of qualifications of its plan to withdraw a qualification to allow them time to make suitable plans ahead of the withdrawal;
- does not provide sufficient information for affected Users when it withdraws a qualification, for example about timelines or possible alternative available qualifications;
- does not provide sufficient resources to deliver, mark or award a qualification that is being withdrawn;
- allows a Learner to enrol or register for a qualification that they are unlikely to be able to complete before the qualification is withdrawn;
- does not make clear what arrangements (if any) are in place for Learners to retake assessments for a qualification that is being withdrawn;
- continues to offer the withdrawn qualification and certificates it as a ‘regulated qualification’;
- promotes or allows others to promote any qualification which it has withdrawn from the Register as a regulated qualification.

Condition D7 - Making available information to help meet Teachers’ needs

D7.1 In respect of each qualification which it makes available, an awarding organisation must ensure that there is available to each Teacher any information which, for the purpose of preparing Learners and persons likely to become Learners for assessments for that qualification, the Teacher may reasonably require to be provided by the awarding organisation.

There is currently no guidance on complying with this Condition

Condition D8 - Compliance with saving and transitional provisions following cessation of accreditation

D8.1 In respect of each qualification which it makes available that is subject to an accreditation requirement in accordance with section 139 of the Act, and for which accreditation will cease to have effect in accordance with section 140(6) of the Act, an awarding organisation must comply with any requirements relating to that qualification which are set out in any saving and transitional provisions made by Ofqual in accordance with section 140(10) of the Act.

There is currently no guidance on complying with this Condition

NOT YET IN FORCE

Section E - Design and development of qualifications

Rules about qualification design and development, including about qualification titling, qualification specifications, credit, and qualification size and level.

Condition E1 - Qualifications having an objective and support

Condition E1 does not apply to Ofqual-regulated apprenticeship end-point assessments.

Qualifications to have an objective

E1.1 An awarding organisation must ensure that each qualification which it makes available or proposes to make available –

- (a) has a clear objective in accordance with this condition, and
- (b) meets that objective.

E1.2 The objective of a qualification must be such as to lead to a benefit for Learners who have reached a specified level of attainment, and may include –

- (a) preparing Learners to progress to a qualification in the same subject area but at a higher level or requiring more specific knowledge, skills and understanding,
- (b) preparing Learners to progress to a qualification in another subject area,
- (c) meeting relevant programmes of learning,
- (d) preparing Learners for employment,
- (e) supporting a role in the workplace, or
- (f) giving Learners personal growth and engagement in learning.

Qualifications to have support

E1.3 Where an awarding organisation proposes to make available any new qualification, it –

- (a) must first consult Users of qualifications to ascertain whether there is support for the qualification, and
- (b) may only make available the qualification where it has evidence of sufficient support from Users of qualifications.

E1.4 For the purposes of Condition E1.3, the following considerations will in particular be relevant in determining what constitutes sufficient support –

- (a) the objective of the new qualification,
- (b) whether the new qualification is intended to facilitate a particular route of progression for Learners, and

- (c) the number of Learners that the awarding organisation reasonably estimates is likely to take the new qualification.

E1.5 For the purposes of this condition, Users of qualifications will be deemed to support a new qualification if the prevailing view of those Users of qualifications is that the qualification would provide a benefit to Learners.

Guidance on Condition E1

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- describes the objective of its qualifications accurately and clearly;
- builds into its arrangements for the design and development of its qualifications time and resources to gather, consider and respond to potential Users’ views;
- seeks views from a range of potential Users of the qualification and listens and responds to their views;
- records the evidence it has of User support;
- makes available or puts forward for accreditation specific support from informed potential Users.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- is the subject of complaints from Users that its qualifications are not meeting the intended objectives;
- makes available or puts forward for accreditation (where required) qualifications that do not have specific support from informed potential Users;
- ignores feedback received regarding support for a qualification;
- has support that refers to the awarding organisation or the qualification type, rather than clearly relating to the proposed qualification and its subject.

Condition E2 - Requirements on qualification titling

E2.1 An awarding organisation must ensure that the title on the Register of any qualification which it makes available includes the following information –

- (a) the name of the awarding organisation,
- (b) the level of the qualification,
- (c) the type of qualification (where the qualification has a type),
- (d) a concise indication of the content of the qualification, and
- (e) any Endorsement known at the time the qualification is submitted to the Register.

E2.2 An awarding organisation must, in addition –

- (a) ensure that the title on the Register reflects the knowledge, skills and understanding which will be assessed as part of the qualification, and

(b) take all reasonable steps to ensure that the title allows Users of qualifications to identify similar units or qualifications which it makes available or are made available by other awarding organisations.

E2.3 An awarding organisation must ensure that each qualification which it makes available, or proposes to make available, has a title which it uses consistently in its advertising and in its communications with Users of qualifications.

E2.4 An awarding organisation must ensure that the titles of qualifications which it makes available, or proposes to make available, are not misleading to Users of qualifications.

E2.5 An awarding organisation must ensure that it amends the title on the Register for a qualification which it makes available when it makes any revision to a level assigned to that qualification.

Guidance on Condition E2

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The title of a qualification:

- includes the name of the awarding organisation in full or in abbreviated form if the abbreviated form is widely used and recognised;
- includes the level of the qualification which has been determined by reference to the level descriptors in accordance with the requirements referred to in Condition E9.3;
- only includes the term 'NVQ' if the qualification is based on recognised occupational standards, confers occupational competence and requires work-based assessment and/or assessment in an environment that simulates the work place;
- only uses the terms –
 - 'award' to indicate a small-sized qualification (i.e. a qualification that has a TQT value of 120 or less);
 - 'certificate' to indicate a medium-sized qualification (i.e. a qualification that has a TQT value in the range 121-369)
 - 'diploma' to indicate a large-sized qualification (i.e. a qualification with a TQT value of 370 or more);

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The title of a qualification includes:

- terms that are misleading or cannot be justified, for example –
 - terms associated with higher education qualifications that are referenced to the Framework for Higher Education Qualifications such as Honours, Masters, Graduate and Postgraduate;
 - terms that cannot be justified such as 'higher', 'extended' or 'advanced' when the qualification is not provided as a progression route from another qualification;
 - subjective statements about the qualification which may be misleading;

- the term 'QCF' after 31 December 2017.

Condition E3 - Publication of a qualification specification

Some parts of this Condition are not in force for all qualifications:

Conditions E3.2(l), E3.2(m), E3.4 and E3.5 do not apply to legacy GCSE, AS and A levels, and certain qualifications undergoing withdrawal

Conditions E3.2(l), E3.4(a) and E3.4(c) also do not apply to reformed GCSEs, AS and A levels, or to apprenticeship end-point assessments

Read more about these exemptions

E3.1 An awarding organisation must, before first making available a particular qualification, publish a specification for that qualification.

E3.2 An awarding organisation must ensure that the specification for a qualification sets out –

- (a) the qualification's objective,
- (b) any other qualification which a Learner must have completed before taking the qualification,
- (c) any prior knowledge, skills or understanding which the Learner is required to have before taking the qualification,
- (d) any units which a Learner must have completed before the qualification will be awarded and any optional routes,
- (e) any other requirements which a Learner must have satisfied before the Learner will be assessed or before the qualification will be awarded,
- (f) the knowledge, skills and understanding which will be assessed as part of the qualification (giving a clear indication of their coverage and depth),
- (g) the method of any assessment and any associated requirements relating to it,
- (h) the criteria against which Learners' levels of attainment will be measured (such as assessment criteria or exemplars),
- (i) any specimen assessment materials,
- (j) any specified levels of attainment,
- (k) where the awarding organisation is required to make such an assignment under General Condition E7 (Total Qualification Time), the number of hours which it has assigned to that qualification for each of Total Qualification Time and Guided Learning,
- (l) any value for credit which it has assigned to that qualification and any Component of that qualification, and
- (m) the level or levels which it has assigned to that qualification and any Component of that qualification.

E3.3 An awarding organisation must ensure that the specification for a qualification is clear, accurate and communicates, to the reasonable and informed person –

- (a) what the qualification requires of the Learner in respect of each of the details that is applicable to the qualification, and
- (b) how the qualification is fit for purpose.

Amendments to the specification

E3.4 An awarding organisation must promptly amend the specification for a qualification following any revision by it of –

- (a) the number of hours which it has assigned for Total Qualification Time or Guided Learning,
- (b) the level or levels which it has assigned to that qualification or any Component of that Qualification, or
- (c) any value for credit which it has assigned to that qualification or any Component of that qualification.

E3.5 Where an awarding organisation has amended the specification for a qualification it must publish that specification as amended.

Application

E3.6 Conditions E3.2(l), E3.2(m), E3.4 and E3.5 shall not apply to an awarding organisation until such date as is specified in, or determined under, any notice in writing issued by Ofqual to the awarding organisation under this paragraph.

E3.7 Any such notice issued by Ofqual may be –

- (a) subject to any conditions that Ofqual specifies (which may include conditions placing requirements on an awarding organisation as to its conduct prior to the date specified in or determined under it),
- (b) issued to an individual awarding organisation or to any group of awarding organisations,
- (c) issued in respect of one or more qualifications or descriptions of qualifications,
- (d) varied by Ofqual at any time prior to the date specified in or determined under it.

E3.8 Where Ofqual makes such a notice subject to conditions, an awarding organisation to which the notice is issued must comply with any requirements that are imposed on it in accordance with those conditions.

Guidance on Condition E3

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation’s specifications:

- are developed using a clear approach and are subject to appropriate quality assurance and sign-off arrangements;
- set out the learning aims and objectives for the qualification clearly, so that Users are able to take informed decisions about the suitability of the qualification for their purposes;
- are readily available to Users, for example through the awarding organisation’s website, and provide clear contact information where queries about the specification can be raised.

The awarding organisation:

- engages with Users of qualifications (for example through employer forums or external focus groups) while it is developing the specification (for example about the qualification’s content, structure, purpose and accessibility), and considers the feedback as part of its ongoing review of the specification and the development of future specifications.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- makes implausible, unjustifiable or misleading claims about a qualification relating Learners’ progression to other qualifications or employment;
- publishes specifications which are not accessible, clear and accurate.

Condition E4 - Ensuring an assessment is fit for purpose and can be delivered

E4.1 In designing an assessment for a qualification which it makes available, or proposes to make available, an awarding organisation must ensure that it has or obtains adequate resources to enable the assessment to be delivered effectively and efficiently.

E4.2 In designing such an assessment, an awarding organisation must in addition ensure that the assessment –

- (a) is fit for purpose,
- (b) can be delivered efficiently,
- (c) allows Centres to develop cost effective arrangements for its delivery, using only the resources which would be reasonably expected to be required or which are provided by the awarding organisation,
- (d) permits Reasonable Adjustments to be made, while minimising the need for them,

- (e) allows each Learner to generate evidence which can be Authenticated,
- (f) allows each specified level of attainment detailed in the specification to be reached by a Learner who has attained the required level of knowledge, skills and understanding, and
- (g) allows Assessors to be able to differentiate accurately and consistently between a range of attainments by Learners.

There is currently no guidance on complying with these Conditions

Condition E5 - Assurance that qualifications comply with the conditions

E5.1 Before submitting a qualification to the Register or for accreditation, an awarding organisation must –

- (a) review that qualification, and
- (b) assure itself that the qualification complies with the requirements of its Conditions of Recognition, making any changes to the qualification which are necessary for that purpose.

Guidance on Condition E5

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- before submitting a qualification to the Register or for accreditation, ensures it is reviewed against the relevant Conditions, taking account and recording the outcome of:
 - feedback from Users on their views about the benefit the qualification would provide to Learners;
 - the clarity of the qualification's objective and the extent to which the qualification is likely to meet its objective;
 - the rationale for the proposed assessment framework, and the extent to which it would facilitate the valid assessment of the required knowledge and skills;
 - the achievability of the plans for the awarding organisation and/or Centres to recruit, train, standardise and monitor the performance of Assessors to facilitate valid assessment;
- makes any improvements to a qualification highlighted by the reviewer(s) before it is submitted to the Register or for accreditation;
- authorises only a person(s) of appropriate competence to confirm that the qualification complies with the requirements of its Conditions of Recognition and is ready to be submitted to the Register or for accreditation;
- uses any lessons learned from previous accreditation decisions (where relevant) to strengthen its approach to reviewing and signing off its proposals prior to their submission for accreditation or to the Register.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not subject a qualification to review before submitting it to the Register or for accreditation;
- does not, without justification, make any changes to the qualification that are highlighted as necessary by the review process;
- submits a qualification to the Register or for accreditation even though (including but not limited to):
 - it does not have evidence that the qualification has support from employers, employer representatives or relevant professional bodies;
 - there is no rationale for the proposed assessment framework;
 - it cannot demonstrate how assessments marked by Centres would be effectively moderated; or
 - it does not have evidence to support any claims about progression to another qualification or employment;
- makes errors in the information it submits to the Register or submits incomplete information.

Condition E6 - Submitting qualifications to the Register

E6.1 An awarding organisation must not make available a qualification unless it has first submitted that qualification to the Register.

E6.2 An awarding organisation must ensure that its submission of a qualification to the Register –

- (a) is in a form that may be published by Ofqual and revised from time to time,
- (b) contains only accurate information, and
- (c) contains all information about the qualification that is requested.

There is currently no guidance on complying with these Conditions

Condition E7 - Total Qualification Time

This Condition is not in force for all regulated qualifications. Currently, it does not apply to:

- GCSEs, AS and A levels
- Ofqual-regulated apprenticeship end-point assessments
- certain qualifications undergoing withdrawal

Read more about these exemptions

E7.1 In respect of each qualification which it makes available or proposes to make available, an awarding organisation must assign to that qualification a number of hours for –

- (a) Total Qualification Time, and
- (b) Guided Learning.

E7.2 An awarding organisation must ensure that the number of hours it assigns to a qualification for Total Qualification Time includes the number of hours which it has assigned to that qualification for Guided Learning.

E7.3 An awarding organisation must, in assigning to a qualification a number of hours for each of Total Qualification Time and Guided Learning, apply the TQT Criteria.

E7.4 An awarding organisation must –

- (a) keep under review the number of hours it has assigned to each qualification for each of Total Qualification Time and Guided Learning,
- (b) in particular, review that number of hours assigned following any revision by Ofqual to the TQT Criteria, and
- (c) revise that number of hours if appropriate.

E7.5 Following any review by Ofqual of the number of hours assigned to a qualification in respect of Total Qualification Time or Guided Learning, an awarding organisation must revise that number in any manner required by Ofqual.

Application

E7.6 Conditions E7.1 to E7.5 shall not apply to an awarding organisation until such date as is specified in, or determined under, any notice in writing issued by Ofqual to the awarding organisation under this paragraph.

E7.7 Any such notice issued by Ofqual may be –

- (a) subject to any conditions that Ofqual specifies (which may include conditions placing requirements on an awarding organisation as to its conduct prior to the date specified in or determined under it),
- (b) issued to an individual awarding organisation or to any group of awarding organisations,
- (c) issued in respect of one or more qualifications or descriptions of qualifications,
- (d) varied by Ofqual at any time prior to the date specified in or determined under it.

E7.8 Where Ofqual makes such a notice subject to conditions, an awarding organisation to which the notice is issued must comply with any requirements that are imposed on it in accordance with those conditions.

Interpretation

E7.9 For the purposes of this Condition references to a 'qualification' are references to the qualification as a whole and not to individual units.

Guidance on Condition E7

Values for Total Qualification Time, including Guided Learning, are calculated by considering the different activities that Learners would typically complete to achieve and demonstrate the learning outcomes of a qualification. They do not include activities which are required by a Learner's Teacher based on the requirements of an individual Learner and/or cohort. Individual Learners' requirements and individual teaching styles mean there will be variation in the actual time taken to complete a qualification. Values for Total Qualification Time, including Guided Learning, are estimates.

Some examples of activities which can contribute to Total Qualification Time include

- Independent and unsupervised research/learning
- Unsupervised compilation of a portfolio of work experience
- Unsupervised e-learning
- Unsupervised e-assessment
- Unsupervised coursework
- Watching a pre-recorded podcast or webinar
- Unsupervised work-based learning
- All Guided Learning

Some examples of activities which can contribute to Guided Learning include:

- Classroom-based learning supervised by a Teacher
- Work-based learning supervised by a Teacher
- Live webinar or telephone tutorial with a Teacher in real time
- E-learning supervised by a Teacher in real time
- All forms of assessment which take place under the Immediate Guidance or Supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training, including where the assessment is competence-based and may be turned into a learning opportunity.

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- has Total Qualification Time and Guided Learning values for its qualifications that are broadly in line with similar qualifications;
- can explain its decision about the Total Qualification Time and Guided Learning values for its qualifications where these values differ from those of similar qualifications;
- considers and responds to the views of potential Users of the qualifications on the proposed Total Qualification Time and Guided Learning values and builds into its qualification development process the time to do so;
- has and retains evidence to support its assignment from informed potential and/or existing Users of qualifications about the Total Qualification Time and Guided Learning values;
- gathers, considers and responds to the views of existing Users of the qualification to review the Total Qualification Time and Guided Learning values and builds into

its arrangements for the review of its qualifications the time and resources to do so;

- can explain its decision about the Total Qualification Time and Guided Learning values required for the qualification, with reference to the available evidence and the intended cohort for the qualification;
- where it makes an assignment before the qualification is first made available, gathers and considers evidence of the actual time typically taken by learners in the first cohort to complete the qualification and revises the number of hours of Total Qualification Time and Guided Learning if appropriate;
- considers feedback from Users of qualifications about the accuracy of values assigned to a qualification for Total Qualification Time and Guided Learning, and revises those values if appropriate.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation –

- does not review its approach to calculating the number of hours for Total Qualification Time and/or Guided Learning following complaints or in response to negative feedback about that approach;
- does not review the number of hours assigned to a qualification for Total Qualification Time and/or Guided Learning following complaints or in response to negative feedback in relation to that number of hours;
- disregards feedback and evidence from Users of qualifications about the Total Qualification Time and/or Guided Learning values required;
- has Total Qualification Time and/or Guided Learning values for a qualification that are not comparable with those of similar qualifications and lacks evidence to support the difference in values.

Examples of activities that contribute to Total Qualification Time and Guided Learning

The tables below sets out examples of activities which would form part of the Total Qualification Time for a range of example qualifications. We also set out which of those activities should form part of the Guided Learning assigned to that qualification.

Example 1: GCSE Mathematics

Activity which forms part of TQT	Also part of Guided Learning?
Classroom teaching	Yes
Invigilated examinations	Yes

Example 2: A level history

Activity which forms part of TQT	Also part of Guided Learning?
Classroom teaching	Yes
Research project Student carries out independent research and produces report without supervision	No
Invigilated examinations	Yes

Example 3: Tennis Coaching

Activity which forms part of TQT	Also part of Guided Learning?
Classroom-based induction to qualification (as required in specification)	Yes
Court/pitch sessions directly supervised by tutor	Yes
Coaching skills practice at club/school Student responsible for generating own evidence of practice e.g. statement confirming attendance from suitable attendant adult, generally not tutor	No
Final practice coaching session carried out in simulated conditions (i.e. student delivers coaching session to either non-student participants or fellow students) Student is observed and assessed at the same time as the coaching session is taking place	Yes

Example 4: Fitness instructor

Activity which forms part of TQT	Also part of Guided Learning?
Face-to-face meetings with tutor or other prearranged 1:1 teaching session (e.g. telephone/webcam contact, internet messaging i.e. online conversation in real time)	Yes
Work-based practice (competence-based, formative assessment). Observed by employer, tutor or other witness more qualified than the student. Observer assesses student's competence in health and safety, setting up equipment, behaviour with clients, circuit training skills etc. Student may be assessed at any time.	Yes

<p>Portfolio assessment</p> <p>Student collates evidence of competence and understanding of policies etc.</p> <p>Unsupervised activity</p>	No
<p>E-assessments</p> <p>E-assessment of knowledge/understanding e.g. knowledge/understanding of anatomy.</p> <p>Student is unsupervised and can access online e-assessment at any time.</p>	No

Example 5: Level 4 Counselling (placement unit)

Activity which forms part of TQT	Also part of Guided Learning?
<p>Supervised practical sessions</p> <p>Tutor observes counselling session, provides feedback and discusses problems/issues/best practice with student</p>	Yes
<p>Placement agreement</p> <p>Student researches and finds own placement(s), including contacting centre, agreeing structure of placement etc.</p>	No
<p>Practical sessions</p> <p>Unsupervised counselling sessions with adult clients</p>	No
<p>Work portfolio/log</p> <p>Reflective activities by unsupervised student, resulting in portfolios of work experience etc. for assessment</p>	No

NOT YET IN FORCE

Example 6: Multimaintenance for beginners

Activity which forms part of TQT	Description	Also part of Guided Learning?
Workplace induction (required in specification)	Teaching in classroom environment and 'Toolbox talks' i.e. direct tutoring in workplace. Includes health and safety, first aid, safety in workplace etc.	Yes
Supervised work	Student works under supervision of employer/direct supervisor	Yes
Unsupervised work	Student works independently and completes work diary (factual record of tasks carried out on that day)	No
Final assessment	On-demand test with multiple-choice questions. Student is supervised by employer/direct supervisor during the assessment.	Yes

Example 7: Level 6 Finance

Activity which forms part of TQT	Description	Also part of Guided Learning?
Financial plan	Student works independently and unsupervised to produce financial plan which is assessed externally. No formal tuition provided.	No

Example 8: Grade 4 Music

Activity which forms part of TQT	Description	Also part of Guided Learning?
Classroom Teaching	May be 1:1 tuition or group teaching sessions.	Yes
Unsupervised practice/rehearsal sessions		No
Practical examination	Examiner supervises and assesses student's demonstration of knowledge and skills e.g. performance test of set pieces, knowledge test of scales and arpeggios, aural test, sight-reading test	Yes

Condition E8 - Credit

Condition E8 does not apply to Ofqual-regulated apprenticeship end-point assessments

E8.1 An awarding organisation may assign a value for credit to a qualification, or a Component of a qualification, which it makes available or proposes to make available.

E8.2 Where an awarding organisation assigns a value for credit to a qualification, that value must be equal to one tenth of the Total Qualification Time assigned to that qualification, rounded to the nearest whole number.

E8.3 Where an awarding organisation makes any revision to the number of hours which it has assigned to a qualification in respect of any element of Total Qualification Time, it must –

- (a) review each value for credit which it has assigned to that qualification and any Component of that qualification, and
- (b) revise that value if appropriate.

There is currently no guidance on complying with these Conditions

Condition E9 - Qualification and Component levels

Condition E9 does not apply to Ofqual-regulated apprenticeship end-point assessments

E9.1 An awarding organisation must assign one or more levels to each qualification which it makes available or proposes to make available.

E9.2 Where an awarding organisation assigns a value for credit to a Component of a qualification which it makes available or proposes to make available, it must assign a level to that Component.

E9.3 An awarding organisation must adhere to any requirements, and have regard to any guidance, which may be published by Ofqual and revised from time to time in assigning –

- (a) a level to a qualification,
- (b) more than one level to a qualification, and
- (c) a level to a Component of a qualification.

E9.4 An awarding organisation must –

- (a) keep under review each level which it has assigned to a qualification or a Component of a qualification,

- (b) in particular, review that level following any revision by Ofqual of any requirements published under this Condition, and
- (c) revise that level if appropriate.

E9.5 Following any review by Ofqual of a level assigned to a qualification or a Component of a qualification an awarding organisation must revise that level in any manner specified by Ofqual.

Management of the revision of a level assigned to a qualification

E9.6 An awarding organisation must give to Ofqual reasonable notice of its anticipated revision of a level assigned to a qualification, and must do so prior to the time at which it provides that information to any Users of the qualification.

E9.7 Where an awarding organisation intends to revise, or is obliged to revise, a level assigned to a qualification, it must either –

- (a) withdraw that qualification, or
- (b) follow the process outlined in conditions E9.8 and E9.9,

and must give to Ofqual reasonable notice of which of these two courses it intends to follow.

E9.8 Where an awarding organisation intends to revise, or is obliged to revise, a level assigned to a qualification, and does not intend to withdraw that qualification, it must –

- (a) take all reasonable steps to protect the interests of Learners in relation to that qualification,
- (b) promptly prepare, maintain, and comply with a written revision plan, which must specify how the interests of Learners in relation to that qualification will be protected, and
- (c) provide clear and accurate information about the revision to Users of the qualification who are likely to be affected by the revision.

E9.9 An awarding organisation must ensure that any revision plan which it prepares complies with any requirements which Ofqual has communicated to it in writing.

There is currently no guidance on complying with these Conditions

Condition E10 Recognition of Prior Learning

E10.1 An awarding organisation must establish, maintain, publish and comply with a policy which specifies whether or not it recognises prior learning.

Further requirements where an awarding organisation permits Recognition of Prior Learning

E10.2. In any circumstance where the policy it has in place permits the Recognition of Prior Learning, an awarding organisation must ensure the policy enables it to award qualifications in a way that complies with its Conditions of Recognition.

Guidance on Condition E10

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation's published policy for Recognition of Prior Learning (RPL):

- is open, transparent and clear to Learners and Users of qualifications; and
- in any circumstances where the awarding organisation chooses to recognise prior learning –
 - sets out the evidence of prior learning that will be required by the awarding organisation;
 - sets out the various stages to be followed in considering an application for RPL and the timelines to be followed at each stage;
 - sets out the criteria which will be used when making a decision about the appropriateness of RPL;
 - identifies the range of possible outcomes to a successful application for RPL;
 - sets out a complaints process;
 - identifies any role to be taken by a Centre in making a decision about RPL;
 - identifies any limit on the amount of RPL available for any qualification which is subject to such a limit.

The awarding organisation ensures that:

- any decisions on whether on an application for RPL are carried out by staff who are competent to consider and make decisions about RPL;
- its policy for RPL is regularly reviewed and, where appropriate, amended; and
- any qualification awarded to a Learner who has made a successful application for RPL provides a valid and reliable indication of that Learner's knowledge, skills and understanding.

Total Qualification Time Criteria

These criteria are set and published by Ofqual under section 146(1)(b) of the Act and General Condition E7, and apply to all awarding organisations in respect of all qualifications regulated by Ofqual.

Taken together, section 145 of the Act and General Condition E7 require awarding organisations to:

- in respect of each qualification it makes available (or proposes to make available), assign a number of hours to that qualification for:
 - Total Qualification Time, and
 - Guided Learning,
- as relevant, apply criteria 1 to 22 below when assigning a number of hours for Total Qualification Time or Guided Learning to a qualification.

Criteria for assigning to a qualification a number of hours for Total Qualification Time

An awarding organisation must apply the following criteria in determining, under Condition E7.1(a), a number of hours for Total Qualification Time to assign to a qualification:

- in the case of a qualification which it proposes to make available, criteria 1 to 6, as relevant.
- in the case of a qualification which it already makes available, criteria 7 to 11, as relevant.
- in all cases an awarding organisation must comply with the criteria 12 to 14.

Criteria for qualifications which an awarding organisation proposes to make available

- Criterion 1** Where an awarding organisation provides Guided Learning to Learners in respect of one or more qualifications which are similar to the qualification for which the determination is being made ('Similar Qualifications'), the awarding organisation must estimate the number of hours of Total Qualification Time which a Learner is reasonably likely to undertake in respect of each Similar Qualification.
- Criterion 2** Where Guided Learning is provided by one or more Centres and/or third parties in respect of a Similar Qualification, an awarding organisation must gather estimates from a reasonable number of those Centres and third parties of the number of hours of Total Qualification Time which a Learner is reasonably likely to undertake in respect of each Similar Qualification.
- Criterion 3** Where neither criterion 1 nor 2 applies, an awarding organisation must estimate the number of hours of Total Qualification Time which it considers a Learner is reasonably likely to undertake in respect of the qualification.
- Criterion 4** In arriving at any estimate under criterion 3 an awarding organisation must have due regard to any relevant information which is reasonably available to the awarding organisation, including information from Users of Similar Qualifications and any organisations with relevant expertise including employer organisations, funding agencies, inspectorates and relevant statutory bodies.
- Criterion 5** An awarding organisation must ensure that the number of hours for Total Qualification Time that it assigns to a qualification which it proposes to make available includes the number of hours that it has assigned to that qualification for Guided Learning.
- Criterion 6** In addition, when assigning a number of hours for Total Qualification Time to a qualification which it proposes to make available an awarding organisation must have due regard to:
- (a) any estimates gathered under criteria 1 and 2,
 - (b) in relation to those estimates under criteria 1 and 2, any relevant information which is reasonably available to the awarding organisation, including information from Users of Similar Qualifications and any organisations with relevant expertise including employer organisations, funding agencies, inspectorates and relevant statutory bodies, and
 - (c) any estimate arrived at under criterion 3.

Criteria for qualifications which an awarding organisation already makes available

Criterion 7 Where all or part of the Guided Learning in respect of a qualification is provided by an awarding organisation, the awarding organisation must estimate the number of hours of Total Qualification Time which it considers that a Learner is reasonably likely to undertake in respect of the qualification.

Criterion 8 In arriving at any estimate under criterion 7 an awarding organisation must have due regard to any relevant information which is reasonably available to the awarding organisation, including information from Users of Similar Qualifications and any organisations with relevant expertise including employer organisations, funding agencies, inspectorates and relevant statutory bodies.

Criterion 9 Where all or part of the Guided Learning in respect of a qualification is provided by one or more Centres and/or third parties, an awarding organisation must gather estimates from a reasonable number of those Centres and third parties of the number of hours of Total Qualification Time they consider to be reasonably likely to be undertaken by a Learner in respect of the qualification.

Criterion 10 An awarding organisation must ensure that the number of hours for Total Qualification Time that it assigns to a qualification which it makes available includes the number of hours that it has assigned to that qualification for Guided Learning.

Criterion 11 In addition, when assigning a number of hours for Total Qualification Time to a qualification which it makes available an awarding organisation must have due regard to:

- (a) any estimate arrived at under criterion 7,
- (b) any estimates gathered under criterion 9, and
- (c) in relation to those estimates under criteria 7 and 9, any relevant information which is reasonably available to the awarding organisation, including information from Users of Similar Qualifications and any organisations with relevant expertise including employer organisations, funding agencies, inspectorates and relevant statutory bodies.

Criteria for recording a determination

Criterion 12 Where a qualification contains a choice of optional routes which have differing numbers of hours for Total Qualification Time, an awarding organisation must assign the lowest number of those hours to that qualification.

Criterion 13 An awarding organisation must record its determination, together with the reasons for it, and retain all supporting evidence gathered

under criteria 2, 4, 6(b), 7, 9 and 11(c) for so long as it continues to offer the qualification

Criterion 14 An awarding organisation must ensure that it is capable of providing a reasoned justification for its determination to Ofqual on request, together with all supporting evidence which it has retained under criterion 13.

Criteria for assigning to a qualification a number of hours for Guided Learning

An awarding organisation must apply the following criteria in determining, under section 145(3)(b) of the Act and/or Condition E7.1(a), a number of hours for Guided Learning to assign to a qualification:

- in the case of a qualification which it proposes to make available, criteria 15 to 18, as relevant.
- in the case of a qualification which it already makes available, criterion 19.
- in all cases an awarding organisation must comply with the criteria 20 to 22.

Criteria for qualifications which an awarding organisation proposes to make available

Criterion 15 Where all or part of the Guided Learning in respect of a qualification will be provided by an awarding organisation, the awarding organisation must:

(a) where the awarding organisation provides Guided Learning in respect of one or more Similar Qualifications, calculate the number of hours of Guided Learning provided by the awarding organisation to a Learner in respect of each Similar Qualification, or

(b) where criterion 15(a) does not apply, estimate the number of hours of Guided Learning which the awarding organisation intends to provide to a Learner in respect of the qualification.

Criterion 16 In arriving at any estimate under criterion 15(b), an awarding organisation must have due regard to any relevant information which is reasonably available to the awarding organisation, including information from Users of Similar Qualifications and any organisations with relevant expertise including employer organisations, funding agencies, inspectorates and relevant statutory bodies.

Criterion 17 Where all or part of the Guided Learning in respect of a qualification will be provided by one or more Centres and/or third parties, an awarding organisation must:

(a) where Guided Learning in respect of a Similar Qualification is provided by one or more Centres and/or third parties, gather statements from a reasonable number of those Centres and third parties of the number of hours of

Guided Learning which they provide to a Learner in respect of each Similar Qualification (whether made available by the awarding organisation or other awarding organisations), or

(b) where criterion 17(a) does not apply, gather estimates from a reasonable number of Centres and/or third parties of the number of hours of Guided Learning which they would be likely to provide to a Learner in respect of the qualification.

Criterion 18 When assigning a number of hours for Guided Learning to a qualification an awarding organisation must have due regard to:

(a) any numbers calculated under criterion 15(a) or any estimate arrived at under criterion 15(b),

(b) any numbers gathered under criterion 17(a) or any estimates gathered under criterion 17(b), and

(c) in relation to any numbers gathered under criterion 17(a) and any estimates gathered under criterion 17(b), any relevant information which is reasonably available to the awarding organisation, including information from Users of Similar Qualifications and any organisations with relevant expertise including employer organisations, funding agencies, inspectorates and any relevant statutory bodies.

Criteria for qualifications which an awarding organisation already makes available

Criterion 19 In respect of a qualification which it makes available, an awarding organisation must:

(a) calculate the number of hours of Guided Learning which it provides to a Learner in respect of the qualification,

(b) where any Guided Learning in respect of the qualification is provided by one or more Centres and/or third parties, gather statements from a reasonable number of those Centres and third parties in regard to the number of hours of such Guided Learning which those Centres and/or third parties provide to a Learner, and

(c) assign a number of hours for Guided Learning to the qualification having due regard to the number calculated under criterion 19(a) and the numbers gathered under criterion 19(b).

Criteria for recording a determination

Criterion 20 Where a qualification contains a choice of optional routes which have differing numbers of hours for Guided Learning, an awarding organisation must assign the lowest number of those hours to that qualification.

Criterion 21 An awarding organisation must record its determination, together with the reasons for it, and retain all supporting evidence gathered under criteria 15(a), 16, 17, 18(c) and 19(b) for so long as it continues to offer the qualification.

Criterion 22 An awarding organisation must ensure that it is capable of providing a reasoned justification for its determination to Ofqual on request, together with all supporting evidence which it has retained under criterion 21.

Level requirements (including level descriptors)

General Condition E9.3(c) allows us to specify requirements which an awarding organisation must follow when assigning –

- (a) a level to a qualification,
- (b) more than one level to a qualification, and
- (c) a level to a Component of a qualification.

We set out our requirements for the purposes of Condition E9.3(c) below.

Assigning a level to a qualification

When assigning a level to each of its qualifications in accordance with Condition E9.1, an awarding organisation must use the level descriptors set out below to select the most appropriate level to assign to that qualification.

Assigning more than one level to a qualification

When assigning more than one level to a qualification an awarding organisation must –

- (a) be satisfied that the range of achievement recognised by the qualification is sufficient to span more than one level,
- (b) use the level descriptors set out below to select the most appropriate levels to assign to that qualification,
- (c) have a clear rationale for assigning more than one level to that qualification, and
- (d) publish that rationale.

Assigning a level to a component of a qualification

When assigning a level to a Component of a qualification in accordance with Condition E9.2 an awarding organisation must –

- (a) use the level descriptors set out below to select the most appropriate level to assign to that Component, and
- (b) take all reasonable steps to ensure that the level assigned to each Component is appropriate when considered against the level assigned to the qualification as a whole.

Level descriptors

The level descriptors are divided into two categories – knowledge and understanding; and skills.

There is a knowledge descriptor and a skills descriptor for each level within the framework. The descriptors apply to all the qualifications we regulate, general and vocational, and so many of the descriptors have an “and/or” construction to indicate their applicability to the knowledge and skills associated with the study of a subject or in preparation for a job or role.

The level descriptors build on those used within the Qualifications and Credit Framework (QCF) and the European Qualifications Framework (EQF). Levels 4-8 are intended to be consistent with the five levels within the Framework for Higher Education Qualification in England, Wales and Northern Ireland (FHEQ).

The descriptors set out the generic knowledge and skills associated with the typical holder of a qualification at that level. The level descriptors are framed as outcomes and each category starts with a stem statement (“the holder can...”) which then links into the outcomes associated with each level of the framework.

The descriptors for the knowledge and skills associated with Entry 1 achievement are the exception to this. The Entry 1 descriptors are based on a continuum of achievement which can be used to track and recognise progress towards the achievement of student-centred targets.

None of the descriptors is intended to point to the process of learning or to specific assessment methods.

Level	Knowledge descriptor (the holder...)	Skills descriptor (the holder can...)
Entry 1	Progresses along a continuum that ranges from the most elementary of achievements to beginning to make use of knowledge and/or understanding that relate to the subject or immediate environment.	Progress along a continuum that ranges from the most elementary of achievements to beginning to make use of skills that relate to the subject or the immediate environment.
Entry 2	Has basic knowledge or understanding of a subject and/or can carry out simple, familiar tasks; and Knows the steps needed to complete simple activities.	Carry out simple, familiar tasks and activities. Follow instructions or use rehearsed steps to complete tasks and activities.
Entry 3	Has basic knowledge and understanding to carry out structured tasks and activities in familiar contexts; and	Carry out structured tasks and activities in familiar contexts. Be aware of the consequences of actions for self and others.

	Knows and understands the steps needed to complete structured tasks and activities in familiar contexts.	
L1	<p>Has basic factual knowledge of a subject and/or knowledge of facts, procedures and ideas to complete well-defined routine tasks and address simple problems; and</p> <p>Is aware of aspects of information relevant to the area of study or work.</p>	<p>Use basic cognitive and practical skills to complete well-defined routine tasks and procedures.</p> <p>Select and use relevant information.</p> <p>Identify whether actions have been effective.</p>
L2	<p>Has knowledge and understanding of facts, procedures and ideas in an area of study or field of work to complete well-defined tasks and address straightforward problems.</p> <p>Can interpret relevant information and ideas.</p> <p>Is aware of a range of information that is relevant to the area of study or work.</p>	<p>Select and use relevant cognitive and practical skills to complete well-defined, generally routine tasks and address straightforward problems.</p> <p>Identify, gather and use relevant information to inform actions.</p> <p>Identify how effective actions have been.</p>
L3	<p>Has factual, procedural and theoretical knowledge and understanding of a subject or field of work to complete tasks and address problems that while well-defined, may be complex and non-routine.</p> <p>Can interpret and evaluate relevant information and ideas.</p> <p>Is aware of the nature of the area of study or work.</p> <p>Is aware of different perspectives or approaches within the area of study or work.</p>	<p>Identify, select and use appropriate cognitive and practical skills, methods and procedures to address problems that while well-defined, may be complex and non-routine.</p> <p>Use appropriate investigation to inform actions.</p> <p>Review how effective methods and actions have been.</p>
L4	<p>Has practical, theoretical or technical knowledge and understanding of a subject or field of work to address problems that are well defined but complex and non-routine.</p> <p>Can analyse, interpret and evaluate relevant information and ideas.</p> <p>Is aware of the nature of approximate scope of the area of study or work.</p>	<p>Identify, adapt and use appropriate cognitive and practical skills to inform actions and address problems that are complex and non-routine while normally fairly well-defined.</p> <p>Review the effectiveness and appropriateness of methods, actions and results.</p>

	Has an informed awareness of different perspectives or approaches within the area of study or work.	
L5	<p>Has practical, theoretical or technological knowledge and understanding of a subject or field of work to find ways forward in broadly defined, complex contexts.</p> <p>Can analyse, interpret and evaluate relevant information, concepts and ideas.</p> <p>Is aware of the nature and scope of the area of study or work.</p> <p>Understands different perspectives, approaches or schools of thought and the reasoning behind them</p>	<p>Determine, adapt and use appropriate methods, cognitive and practical skills to address broadly defined, complex problems.</p> <p>Use relevant research or development to inform actions.</p> <p>Evaluate actions, methods and results.</p>
L6	<p>Has advanced practical, conceptual or technological knowledge and understanding of a subject or field of work to create ways forward in contexts where there are many interacting factors.</p> <p>Understands different perspectives, approaches or schools of thought and the theories that underpin them.</p> <p>Can critically analyse, interpret and evaluate complex information, concepts and ideas.</p>	<p>Determine, refine, adapt and use appropriate methods and advanced cognitive and practical skills to address problems that have limited definition and involve many interacting factors.</p> <p>Use and, where appropriate, design relevant research and development to inform actions.</p> <p>Evaluate actions, methods and results and their implications.</p>
L7	<p>Reformulates and uses practical, conceptual or technological knowledge and understanding of a subject or field of work to create ways forward in contexts where there are many interacting factors.</p> <p>Critically analyses, interprets and evaluates complex information, concepts and theories to produce modified conceptions.</p> <p>Understands the wider contexts in which the area of study or work is located.</p> <p>Understands current developments in the area of study or work.</p>	<p>Use specialised skills to conceptualise and address problematic situations that involve many interacting factors.</p> <p>Determine and use appropriate methodologies and approaches.</p> <p>Design and undertake research, development or strategic activities to inform or produce change in the area of work or study.</p> <p>Critically evaluate actions, methods and results and their short- and long-term implications.</p>

	Understands different theoretical and methodological perspectives and how they affect the area of study or work.	
L8	<p>Develops original practical, conceptual or technological understanding to create ways forward in contexts that lack definition and where there are many complex, interacting factors.</p> <p>Critically analyses, interprets and evaluates complex information, concepts and theories to produce new knowledge and theories.</p> <p>Understands and reconceptualises the wider contexts in which the field of knowledge or work is located.</p> <p>Extends a field of knowledge or work by contributing original knowledge and thinking.</p> <p>Exercises critical understanding of different theoretical and methodological perspectives and how they affect the field of knowledge or work.</p>	<p>Use advanced and specialised skills and techniques to conceptualise and address problematic situations that involve many complex, interacting factors.</p> <p>Formulate and use appropriate methodologies and approaches.</p> <p>Initiate, design and undertake research, development or strategic activities that extend or produce significant change in the field of work or study.</p> <p>Critically evaluate actions, methods and results and their short- and long-term implications for the field of work or knowledge and its wider context.</p>

Guidance on level and level descriptors

General Condition E9.3(c) allows us to specify guidance to which an awarding organisation must have regard when assigning –

- (a) a level to a qualification
- (b) more than one level to a qualification
- (c) a level to a Component of a qualification

We set out our guidance for the purposes of Condition E9.3(c) below.

Who can use the level descriptors?

The level descriptors must be used by awarding organisations when they are assigning a level to a qualification and a Component of a qualification. Level descriptors can also be used by –

- students and other users – to understand and interpret the level of qualifications,
- anyone who wants to understand more about the difference between and relative demand of qualifications at different levels.

How should awarding organisations use the level descriptors?

Awarding organisations should look at the range of level descriptors and identify the descriptor (or where the qualification will have more than one level, the descriptors) which provides the best match with the intended knowledge and skills outcomes for their qualification. Once the awarding organisation has designed the qualification, they could look at the descriptor for the level above and below the proposed level for the qualification and compare the knowledge and skills descriptors for each level with the knowledge, skills and understanding which the holder of the qualification is expected to demonstrate. The fit does not have to be perfect; qualifications might naturally have a more knowledge- or skills-based focus and so will be a better fit with the knowledge or skills descriptor as appropriate.

Awarding organisations can also look at a range of other material to support the selection of the most appropriate level for their qualification including other qualifications at a range of levels, benchmark and content statements and agreed industry statements.

Awarding organisations and users should not expect all qualifications to meet the relevant level descriptor in full. It would not be unusual for smaller qualifications to cover only some of the characteristics set out in the descriptor whereas bigger qualifications, typically taken over a longer period, are more likely to feature more of the characteristics. The descriptors set out what the typical holder of a qualification at that level will know and be able to do based on the best-fit approach described above.

Awarding organisations and users should not expect all of a qualification's content and assessment to be at the level the learner is expected to reach on conclusion of the qualification. This will be particularly true of qualifications delivered over a longer period and which are designed to enable the learner to progress from one level to another within the qualification. In assigning a level to a qualification the awarding organisation should have regard to the amount of content and assessment at the level of the qualification and to the learner's increased ability as the learner approaches the end of the qualification.

How will Ofqual use the descriptors?

We will use the descriptors to inform our review process, particularly when we are exploring how awarding organisations check and verify the given level of their qualification with these descriptors for that level.

Section F - Providing qualifications to purchasers

Rules about providing information on qualification fees and feature, packaging qualifications with other products or services, and invoicing

Condition F1 - Information on fees and features of a qualification

Making fee information available

F1.1 In respect of each of its qualifications that it makes available for purchase, an awarding organisation must publish the following information for potential purchasers in England –

- (a) where possible, the Standard Qualification Fee.
- (b) where applicable, any Package Fee.
- (c) where possible, any Associated Learner Fees.
- (d) where possible, any Mandatory Centre Fees.
- (e) where it is not possible for the awarding organisation to calculate a Standard Qualification Fee, Associated Learner Fees or any Mandatory Centre Fees, a statement of the method by which these fees are calculated.

F1.2 An awarding organisation must ensure that the information which it publishes as required by Condition F1.1 is –

- (a) kept up to date,
- (b) clear to a potential purchaser, and
- (c) easily accessible to any potential purchaser without that person having to request it from, or provide any information to, the awarding organisation.

Making fee information available to satisfy the planning requirements of purchasers

F1.3 An awarding organisation must take all reasonable steps to publish the information required by Condition F1.1 sufficiently far in advance of the time at which the qualifications to which that information relates will be made available to Learners as to satisfy the reasonable planning requirements of potential purchasers.

F1.4 Where such information cannot be published to this timescale, the awarding organisation must instead provide or make available to potential purchasers information that is sufficient to give a reasonable indication of its likely fees, together with a clear statement to make potential purchasers aware that this information is only indicative.

F1.5 In respect of each of its qualifications that it makes available for purchase, an awarding organisation must make the information set out in Condition F1.1(a) – (e) available for potential purchasers outside England on request.

There is currently no guidance on complying with these Conditions

Condition F2 - Packaging qualifications with other products or services

Packages offered as an option

F2.1 Where an awarding organisation makes available a qualification both in a package with other products or services and separately from those other products or services, it must inform purchasers prior to the time of purchase that the qualification may be purchased separately or in a package.

Packages offered without alternative options

F2.2 An awarding organisation must not make available a qualification in a package together with other products or services unless it also makes available that qualification without other products or services, except where it –

- (a) from time to time seeks comments from purchasers on whether the packaging of the qualification with the particular products or services is appropriate, and
- (b) reasonably concludes that continuing to make available the package is appropriate.

Guidance on Condition F2

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- puts in place, and follows, a policy which includes details of how it will consider whether or not it is appropriate to introduce or continue to make a qualification available in a package together with other products and services.

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not put in place a policy which includes details of how it will consider whether or not it is appropriate to introduce or continue to make a qualification available in a package together with other products and services, or does not follow such a policy which it has put in place;
- considers that it is appropriate to make a qualification available in a package together with other products and services where that package has a negative impact on Learners and/or the purchasers of the qualification.

Condition F3 - Invoicing

Invoicing purchasers

F3.1 An awarding organisation must –

- (a) ensure that its invoices in relation to the provision of qualifications are issued in a timely manner, and
- (b) provide a breakdown of its fees, beyond that already required by HMRC, to a reasonable level of detail following a request from a purchaser.

The written invoicing policy

F3.2 An awarding organisation must establish, maintain, publish and comply with a written policy on invoicing.

F3.3 The policy must specify the processes to be followed by the awarding organisation in relation to the issue, payment and retention of invoices and the content of invoices.

There is currently no guidance on complying with these Conditions

Section G - Setting and delivering the assessment

Rules about setting and delivering assessments, including about the language of assessments, maintaining confidentiality of assessments, reasonable adjustments and special consideration

Condition G1 - Setting the assessment

G1.1 In setting an assessment for a qualification which it makes available, an awarding organisation must ensure that the content of the assessment is –

- (a) fit for purpose,
- (b) appropriate for the method of assessment chosen, and
- (c) consistent with the specification for that qualification.

G1.2 An awarding organisation must take all reasonable steps to ensure that the Level of Demand of an assessment for a qualification which it makes available is consistent –

- (a) across all options as to tasks which may be completed by a Learner for the purposes of the assessment,
- (b) with the Level of Demand of any other assessment which may be completed by a Learner as an alternative to the assessment, for the purpose of the qualification, and
- (c) with the Level of Demand of previous assessments and of any specimen assessment materials which the awarding organisation has published in relation to the qualification.

G1.3 An awarding organisation must produce a written document in relation to an assessment which sets out clear and unambiguous criteria against which Learners' levels of attainment will be differentiated.

Guidance on Condition G1

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- sets assessments, or where applicable, ensures that its Centres set assessments, which:
 - include only content that is drawn from the knowledge, skills and understanding in the specification and which ensure that the Level of Demand of the assessment is consistent with previous assessments;
 - make it possible for Learners to demonstrate, and the awarding organisation or Centre to measure, the extent to which they have the knowledge, skills and understanding required by the qualification;

- allow the specified level of attainment set out in the specification to be reached by a Learner who has attained the required level of knowledge, skills and understanding;
- use methods of assessment that are valid and are appropriate to the knowledge, skills and understanding being measured;
- effectively differentiate between Learners (that is, solely on the basis of the knowledge, skills and understanding being assessed);
- accurately measure the knowledge, skills and understanding they are intended to measure;
- additionally, for graded qualifications, sets assessments, or ensures its Centres set assessments, which:
 - cover the full range of demands targeted by the assessment;
 - enable the full range of Learners targeted by the assessment to demonstrate the extent to which they have the knowledge, skills and understanding required by the qualification;
 - enable the awarding organisation to differentiate effectively between Learners (that is, solely on the basis of the knowledge, skills and understanding being assessed) across the range of attainment targeted by the assessment;
- has a clear rationale for any optional routes through a qualification, combinations or pathways and can explain how, as far as is possible, these are comparable in terms of the Level of Demand and the amount of subject content required to be taught and on which Learners will be assessed;
- keeps its assessments under review, amending them where necessary, to ensure they remain fit for purpose, for example by reflecting new requirements, good practice or legislation.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- sets assessments which:
 - do not allow it to measure the extent to which Learners have the knowledge, skills and understanding required by the qualification;
 - are not manageable for Centres or Learners, for example because of the availability of equipment, materials or resources;
 - discriminate between Learners on the basis of factors other than the knowledge, skills and understanding being measured by the qualification, for example because of the context in which questions/tasks are set;
 - include content which is not covered by the specification;
 - have options, routes or pathways through the qualification which are not of the same Level of Demand;
- uses an assessment procedure which does not measure the knowledge, skills and understanding required by the qualification with sufficient accuracy;
- does not take appropriate corrective action where it identifies assessments which do not meet these requirements.

Condition G2 - Language of the assessment

G2.1 An awarding organisation must ensure that all Learners taking its qualifications in England are assessed in English, except to the extent that the use of another language is permitted by this condition.

G2.2 A Learner taking a qualification may be assessed in British Sign Language where it is permitted by an awarding organisation for the purpose of Reasonable Adjustment.

G2.3 A Learner taking a qualification may be assessed in any other language where it is one of the primary objectives of the qualification –

- (a) for the Learner to gain knowledge of, skills in, and understanding of that language, or
- (b) to support a role in the workplace, providing that proficiency in English is not required for the role supported by the qualification.

G2.4 Where an awarding organisation makes available a qualification in more than one language, the awarding organisation must take all reasonable steps to ensure that assessments in different languages ensure a consistent Level of Demand for Learners.

There is currently no guidance on complying with these Conditions

Condition G3 - Use of language and Stimulus Materials

G3.1 An awarding organisation must ensure that assessments for qualifications which it makes available use only appropriate language and Stimulus Materials.

G3.2 Language and Stimulus Materials are only appropriate if they –

- (a) enable Learners to demonstrate their level of attainment,
- (b) require knowledge, skills and understanding which are required for the qualification,
- (c) are clear and unambiguous (unless ambiguity forms part of the assessment), and
- (d) are not likely to cause unnecessary offence to Learners.

G3.3 In considering whether language and Stimulus Materials for an assessment are appropriate, an awarding organisation must take into account in particular –

- (a) the age of Learners who may reasonably be expected to take the qualification,
- (b) the level of the qualification,
- (c) the objective of the qualification, and
- (d) the knowledge, skills and understanding assessed for the qualification.

G3.4 An awarding organisation must take all reasonable steps to ensure that no assessment for a qualification which it makes available contains language or Stimulus Materials which could lead a group of Learners who share a common attribute or circumstance to experience – because of that attribute or circumstance – an unreasonable disadvantage in the level of attainment that they are able to demonstrate in the assessment.

Guidance on Condition G3

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- ensures that language and Stimulus Materials are clear, precise and understandable for Learners, unless understanding ambiguous and/or complex language is part of the knowledge, skills and understanding being assessed by the qualification. This could include, but is not limited to:
 - using straightforward sentence structures with accurate punctuation;
 - using language and vocabulary suitable for the level, context and subject of the assessment and for the expected age and ability of Learners;
 - avoiding unnecessarily dense text, unnecessary words, metaphors or redundant information;
 - avoiding unnecessary pictures or diagrams;
 - only using Stimulus Materials where these support valid assessment of the knowledge, skills and understanding being measured;
 - using command words which are appropriate to the level, context and subject of the assessment and using these consistently and correctly;
- ensures that, where it uses Stimulus Materials, these:
 - are error-free, clear and easy to understand (unless dealing with ambiguity and/or understanding complex language are part of the knowledge, skills and understanding being assessed);
 - have a clearly defined purpose;
 - are presented in a format that is likely to be familiar to Learners (unless the interpretation of unfamiliar formats is part of the assessment);
 - use contexts that, as far as possible, do not advantage Learners that have had a particular experience over those that have not, where this experience is not a requirement of the knowledge, skills and understanding being assessed;
- uses language and Stimulus Materials which allow a valid assessment of the knowledge, skills and understanding being assessed and which, as far as possible, allow Learners to demonstrate their level of attainment in these;
- uses language and Stimulus Materials which do not unfairly advantage or disadvantage Learners, including those who share a particular characteristic or experience, on grounds other than their attainment of the knowledge, skills and understanding being assessed by the qualification. Such characteristics and experiences could include, but are not limited to:
 - the Protected Characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, or sexual orientation;

- experiences that are more likely to be familiar to particular cultural or social groups;
- prior knowledge that does not form part of the knowledge, skills or understanding being assessed;
- language comprehension where this is not part of the knowledge, skills or understanding being assessed;
- ensures that, as far as possible, assessments are free from bias on the basis of Protected Characteristics, stereotyping, or language which may cause offence;
- seeks feedback from Centres, gathers and analyses information (for example about complaints received and the performance of Learners) to identify issues with its use of language or Stimulus Materials;
- uses feedback to inform its development of valid assessments and qualifications and to provide feedback and training for staff who develop assessment materials.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- uses language or Stimulus Materials which:
 - include unnecessary negative, narrow or stereotypical representations of particular groups;
 - are unnecessarily complex or irrelevant to the knowledge, skills or understanding being assessed;
 - include pictures or diagrams which are not relevant to the knowledge, skills and understanding being assessed or which are not required to be able to answer questions;
 - include unclear information;
 - are open to different interpretations by Learners where such interpretation does not form part of the assessment;
- is not aware of, or does not act appropriately to consider and where possible mitigate, circumstances where Learners or groups of Learners have been disadvantaged as a result of language or Stimulus Materials;
- does not take action to reduce or remove any disadvantage that has been caused by its use of language or Stimulus Materials for current and future Learners.

Condition G4 - Maintaining confidentiality of assessment materials

G4.1 Where confidentiality in –

- (a) the contents of assessment materials, or
- (b) information about the assessment,

is required in order to ensure that a qualification which an awarding organisation makes available, or proposes to make available, reflects an accurate measure of attainment, the awarding organisation must take all reasonable steps to ensure that such confidentiality is maintained.

G4.2 An awarding organisation –

- (a) must take all reasonable steps to ensure that such confidentiality is maintained where it (or any person connected or previously connected to it) provides training or training materials in relation to such a qualification,
- (b) must not provide or endorse any prohibited training, and
- (c) must take all reasonable steps to ensure that any person connected or previously connected to it does not provide or endorse any prohibited training.

G4.3 For the purposes of this condition, 'prohibited training' is training –

- (a) provided to Teachers in relation to such a qualification,
- (b) at which a number of persons are present (whether physically or remotely by means of simultaneous electronic communication),
- (c) where any one of those persons holds information in relation to the content of assessment materials or information about the assessment for that qualification, and
- (d) where disclosure of the information to Teachers would breach such confidentiality.

G4.4 An awarding organisation must, in respect of any training it provides to Teachers in relation to such a qualification (and, in relation to any such training provided by any person connected to it, must take all reasonable steps to) –

- (a) ensure that the training is reasonably available to all Teachers preparing Learners, or persons likely to become Learners, for assessments for that qualification,
- (b) advertise to Teachers the availability of the training, including in particular by publishing details of the training, and
- (c) publish the content of any training materials which have been provided to Teachers in connection with the training, as soon as reasonably practicable after the training has been held.

G4.5 An awarding organisation must take all reasonable steps to ensure that -

- (a) no person connected to it, or previously connected to it, and
- (b) in particular, no Teacher or other third party who has had access to confidential assessment materials,
discloses, or offers to disclose, information about any assessment or the content of any assessment materials where that information is (or is said or implied to be) confidential.

G4.6 Where any breach of such confidentiality (including through the loss or theft of confidential assessment materials) is either suspected by an awarding organisation or alleged by any other person and where there are reasonable grounds for that suspicion or allegation, the awarding organisation must:

- (a) investigate that breach,
- (b) ensure that such an investigation is carried out rigorously, effectively, and by persons of appropriate competence who have no personal interest in its outcome, and

(c) so far as possible, establish whether or not a breach of such confidentiality has occurred.

Guidance on Condition G4

In the guidance below 'confidential assessment information' refers to both the contents of assessment materials and information about the assessment in relation to which confidentiality must be maintained under Condition G4.1.

Third party activities covered by Condition G4

An awarding organisation must ensure that it takes appropriate steps to meet the requirements of Condition G4 in relation to its own employees.

Awarding organisations are also likely to contract with a variety of third parties in relation to the development and delivery of assessments, many of whom will have access to confidential assessment information. This will include not only those persons who set questions and quality assure the assessments but also those involved in printing assessments and distributing them to Centres. For online assessments it may also include any third party that hosts the platform through which an assessment is provided.

Condition G4.1 requires an awarding organisation to take all reasonable steps to ensure confidentiality is not breached by anyone during any part of the assessment development and delivery process.

For the purposes of Conditions G4.3 to G4.5, awarding organisations should also remember that the term 'Teacher', as defined in Condition J1.8, includes not only qualified teaching staff in schools and colleges, but also covers home-schooling parents, private tutors and employers providing training to Learners in relation to vocational qualifications.

Confidential information

Condition G4.1 refers to confidentiality in respect of:

- (a) the contents of assessment materials, and
- (b) information about the assessment for a qualification.

This covers any information which, if divulged inappropriately, could impact on the validity and/or reliability of an assessment. Information about when or how particular knowledge, skills or understanding will be assessed will be confidential if the assessment was designed in a way that assumes the Learner will not know that information before taking the assessment.

For some assessments, it might be enough to maintain confidentiality in relation to information about specific questions. For other assessments, knowledge of a broad overview about the topics to be set or the general structure of the paper might compromise the ability of the assessment to measure the Learner's attainment effectively.

Examples of training that is not prohibited

Provided that confidentiality, as defined by Condition G4.1, is not breached and all other regulatory requirements are met, training for Teachers can be delivered if it:

- does not relate to a particular regulated qualification; or
- is about a particular regulated qualification but does not involve the presence of anyone with information about that qualification that must not be shared with Teachers and Learners. This could include where the training is attended by persons who:
 - had sight of the contents of previous assessments that are part of the current specification but have no confidential information on assessments that have yet to be taken; or
 - had confidential information about assessments for an earlier specification for the same qualification but do not have confidential assessment information in relation to the current specification.

Where a staff member with confidential information about qualification A attends a training event in relation to qualification B, that training will not become prohibited training simply because an attendee asks, or might ask, a question about qualification A. If the answer to the question would involve the staff member breaching confidentiality, he or she should simply decline to answer it, and could refer the questioner to publicly available information.

Condition G4.2 concerns the provision of training. 'Training' should be given its ordinary meaning and, in general terms, will usually encompass meetings – attended either in person or remotely – at which attendees are either taught a particular skill or provided with information in relation to a particular regulated qualification, with the aim of better equipping them to deliver that qualification. The obligations in Conditions G4.2 and G4.4 will not, therefore, apply to meetings with Teachers where the purpose is to facilitate the development or design of a particular regulated qualification by an awarding organisation.

However, it is important to note that meetings with Teachers, at which the primary purpose is not to provide training, may incorporate a training element. We expect awarding organisations to consider carefully whether each particular meeting with Teachers will provide training to them and, if so, whether any such training will adhere to the requirements in Conditions G4.2(a) and G4.4.

Likewise, a staff member with confidential information will not automatically be providing prohibited training if he or she takes a telephone call from, or otherwise talks to, a Teacher. However, prohibited training will include one-to-one training where all of the elements of the definition in Condition G4.2 are met. The staff member, therefore, must not disclose confidential information when answering a question.

Pre-recorded training – such as a webinar – from someone with confidential information will not fall within the definition of 'prohibited training' under Condition G4.3 because that person would not be 'present' under the definition of that term in Condition G4.3(b), which concerns the use of simultaneous electronic communication. The awarding organisation would, of course, need to comply with Condition G4.2(a) in that the pre-recorded training could not disclose information that would breach Condition G4.1. It must also comply with the obligation under Condition G4.4(c) concerning the publication of training materials.

The above examples are for illustrative purposes only and are not exhaustive.

Training on Centre-marked assessment

Condition G4 allows a distinction to be made between:

- (a) information that can be shared with Teachers that they must not then pass on to their Learners (for example, in the context of training on how to conduct Centre-marked assessments); and
- (b) information that neither Teachers nor Learners should see because this would breach the requirement of confidentiality in Condition G4.1.

So, for example, if an awarding organisation was to share model answers or exemplar work at a training event where Teachers were being standardised in relation to Centre-marked assessments, this would be permissible under Condition G4.2(b). This is because the event falls outside the definition of ‘prohibited training’.

However, although the disclosure of such information to Teachers would not breach confidentiality as defined by Condition G4.1, an awarding organisation must take all reasonable steps to ensure that such information is not passed on to Learners where this would affect the ability of the assessment to reflect an accurate measure of attainment.

A person can attend a training event if he or she holds only confidential information in relation to the qualification that, if disclosed to Teachers, would not breach the requirement of confidentiality in Condition G4.1. One such example would be if the person held confidential information in relation to the standardisation of marking in Centre-marked assessment only.

However, a person could not attend such training if he or she holds confidential information in relation to external assessment for that qualification as that information, if disclosed to Teachers, would breach the requirement of confidentiality in Condition G4.1.

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- is clear which assessment materials and information are confidential;
- monitors who has had access to confidential assessment information and the extent to which this is the case (for example if they have seen entire assessments or parts or assessments), for each of its qualifications;
- trains relevant staff about how to protect confidential assessment information, including during interactions with Teachers;
- puts in place and monitors the application of confidentiality policies and processes for its staff and third parties, which include –
 - details on how to maintain confidentiality during interactions with Teachers; and
 - provision in relation to the protection of confidentiality by staff and third parties who have access to confidential assessment information through the assessment development process, including quality assurance (in relation to which, see our overarching guidance on safeguarding confidentiality where Teachers are involved in developing assessments);

- makes sure that, where it provides training to Centres about how to set, deliver or mark assessments, the Centre is trained on how to protect confidential assessment information and maintain confidentiality, and the training itself is designed and delivered to minimise the risk of a breach of confidentiality by the future disclosure of materials provided in connection with the training;
- monitors the training and training materials that it delivers to make sure confidential information is not shared at events, for example by:
 - reviewing training materials before they are used;
 - reviewing recordings of training events;
 - sending observers to monitor samples of training events;
- requires all current (and former) staff and third parties who have had access to confidential assessment information in relation to a particular qualification to apply in writing for the awarding organisation's permission before providing, endorsing or attending any Teacher training events in respect of that qualification, and only gives permission where doing so would not lead to prohibited training taking place;
- puts all presentations and other training materials used at its Teacher training events on its website (or in a secure area of its website accessible to all Teachers for the qualification), clearly linked from the pages containing the relevant qualification specifications;
- has on record clear terms of reference for the investigations it has undertaken into suspected or alleged breaches of confidentiality;
- has on record a log of all allegations of breaches of confidentiality, including those that were not investigated, that it can cross-reference if new information is provided.

The awarding organisation:

- takes all reasonable steps to ensure that resources designed to support the preparation of Learners which are prepared by current (and former) staff and third parties who have confidential assessment information in relation to that qualification do not compromise the confidentiality of assessments for that qualification;
- trains relevant staff about how to protect confidential assessment information, including during the preparation of any resources designed to support the preparation of Learners, for a qualification in respect of which they have access to confidential assessment information;
- requires all current (and former) staff and third parties who have confidential assessment information to notify the awarding organisation promptly of all instances in which they have been, or are currently, involved in the preparation of a resource designed to support the preparation of Learners for a qualification in respect of which they have access to confidential assessment information. This does not apply to the preparation of teaching resources or materials by a current (or former) third party exclusively for Learners that he or she teaches;
- monitors assessments set by all current (and former) staff and third parties who are, or have been, involved in the preparation of a resource designed to support the preparation of Learners for assessments for the same qualification in respect of which they have confidential assessment information, to ensure that the confidentiality of those assessments has not been compromised by that resource.

This does not apply to the preparation of teaching resources or materials by a current (or former) third party exclusively for Learners that he or she teaches.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not make sure its confidentiality policies and processes for staff and third parties are up to date and followed;
- does not ensure that its conflict of interest records maintained under Condition A4.3 are up to date and contain details of all relevant conflicts in relation to staff and third parties who hold confidential assessment information;
- provides Teacher training events where current (or former) staff or third parties are present in the audience who have had access to assessment information in relation to that qualification which is still confidential
- provides material information about an assessment to Teachers at a training event that is additional to, or contradicts, its published information regarding the relevant qualification, without publishing that information as soon as reasonably practicable after the training event;
- does not take all reasonable steps to establish whether its staff or third parties with access to confidential assessment material provide, or intend to provide, Teacher training relating to the qualification (whether privately or through another organisation);
- has not properly considered evidence collected during an investigation into a suspected or alleged breach of confidentiality;
- has not contacted relevant parties that are critical to an investigation into a suspected or alleged breach of confidentiality, or to the outcomes of that investigation;
- has not kept records and documents relating to the breach of confidentiality and the investigation for an appropriate period
- does not make sure its confidentiality policies and processes for staff and third parties are up to date and followed;
- does not ensure that its conflict of interest records maintained under Condition A4.3 are up to date and contain details of all relevant conflicts in relation to staff and third parties who hold confidential assessment information;
- provides Teacher training events where current (or former) staff or third parties are present in the audience who have had access to assessment information in relation to that qualification which is still confidential
- provides material information about an assessment to Teachers at a training event that is additional to, or contradicts, its published information regarding the relevant qualification, without publishing that information as soon as reasonably practicable after the training event;
- does not take all reasonable steps to establish whether its staff or third parties with access to confidential assessment material provide, or intend to provide, Teacher training relating to the qualification (whether privately or through another organisation);
- has not properly considered evidence collected during an investigation into a suspected or alleged breach of confidentiality;

- has not contacted relevant parties that are critical to an investigation into a suspected or alleged breach of confidentiality, or to the outcomes of that investigation;
- has not kept records and documents relating to the breach of confidentiality and the investigation for an appropriate period.

Condition G5 - Registration of Learners

G5.1 An awarding organisation must take all reasonable steps to ensure that –

- (a) each Learner taking a qualification which the awarding organisation makes available is registered in a way that permits the Learner to be clearly and uniquely identified, and
- (b) where the identity of a Learner has not previously been confirmed to the awarding organisation, or the Centre at which the assessment will take place, arrangements are in place to confirm the Learner's identity.

There is currently no guidance on complying with this Condition

Condition G6 - Arrangements for Reasonable Adjustments

G6.1 An awarding organisation must, in accordance with Equalities Law, have in place clear arrangements for making Reasonable Adjustments in relation to qualifications which it makes available.

G6.2 An awarding organisation must publish details of its arrangements for making Reasonable Adjustments, which must include details as to –

- (a) how a Learner qualifies for a Reasonable Adjustment, and
- (b) what Reasonable Adjustment will be made.

Guidance on Condition G6

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- is aware, and ensures that its staff are aware, of its responsibilities under Equalities Law (including maintaining an up-to-date knowledge of any changes);
- engages with relevant stakeholders and representative groups to make sure its arrangements for Reasonable Adjustments meet its responsibilities on an ongoing basis;
- considers the Reasonable Adjustments any disabled Learners might need;
- where decisions about Reasonable Adjustments are delegated to Centres, ensures that, through its agreement with Centres, its arrangements for Reasonable Adjustments are delivered effectively;
- makes information available to Centres and Learners about:

- entitlements under equalities law for disabled learners to request a Reasonable Adjustment and any restrictions that apply to this;
- how to apply for a Reasonable Adjustment;
- the evidence that should support the application for a Reasonable Adjustment;
- the timelines for applying for a Reasonable Adjustment;
- how the awarding organisation will decide whether a Learner should be given a particular Reasonable Adjustment;
- how a Reasonable Adjustment will be made and any information, such as about equipment or time, the Centre needs to be able to do this; and
- the process for Centres or Learners to appeal against an awarding organisation's decision not to make a Reasonable Adjustment or a specific Reasonable Adjustment;
- makes Reasonable Adjustments available so that disabled Learners can demonstrate their knowledge, skills and understanding;
- considers each application or request for a Reasonable Adjustment on the basis of relevant information, or ensures that Centres do this where the decision has been delegated and:
- applies appropriate criteria, which are clear and consistent for determining each application;
- where it rejects an application, provides a clear reason to the Centre or Learner and, where appropriate, suggests suitable alternative Reasonable Adjustments to those requested;
- provides a process for the Centre or Learner to appeal against its decision;
- keeps a record of the decisions it makes;
- does not make, or allow Centres to make, a Reasonable Adjustment which:
 - would prevent the qualification from providing a reliable indication of the extent to which a Learner has the knowledge, skills and understanding being measured;
 - would alter the knowledge, skills and understanding being measured as opposed to the way they are demonstrated; or
 - unfairly advantages or disadvantages any Learner or group of Learners, whether or not they have had a Reasonable Adjustment applied;
- collects and analyses data on the number of requests for Reasonable Adjustments made and approved. This could include, for example, requests for each qualification or Centre;
- collects and analyses information about complaints about Reasonable Adjustments or about decisions relating to them;
- uses information, intelligence and data to identify and prevent potential misuse of Reasonable Adjustments by Centres and acts on any findings;
- monitors each Centre's application and use of Reasonable Adjustments and takes action where it is not making Reasonable Adjustments appropriately. The checks are regular and detailed enough to identify potential misuse of Reasonable Adjustments;
- reviews and evaluates the effectiveness of its arrangements for Reasonable Adjustments, taking account of its own data and monitoring, information from Centres, Learners, Users of qualifications, Ofqual requirements and any other relevant guidance (for example from the Equality and Human Rights Commission) or case law. It uses this information to inform the design of its

qualifications and makes necessary improvements in a timely and effective manner.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- fails to:
 - make its approach to Reasonable Adjustments clear;
 - make appropriate Reasonable Adjustments available;
 - determine requests for Reasonable Adjustments in a fair, timely and consistent way;
 - consider requests for Reasonable Adjustments from Centres or Learners;
 - respond appropriately to complaints about its arrangements for Reasonable Adjustments;
 - ensure that where it delegates decisions on Reasonable Adjustments to Centres, the Centre follows its requirements;
- does not make appropriate Reasonable Adjustments available that allow Learners to demonstrate their knowledge, skills and understanding being measured;
- does not understand or comply with its duties under Equalities Law to make Reasonable Adjustments;
- makes a Reasonable Adjustment which is prohibited by Ofqual’s specifications under section 96 of the Equality Act 2010;
- does not monitor, in a way that would enable it to identify any misuse, how centres are using Reasonable Adjustments;
- approves, or allows Centres to approve, requests for Reasonable Adjustments which:
 - are not based on sufficient evidence of how the Learner’s disability affects their ability to demonstrate the knowledge, skills and understanding being measured; or
 - unfairly advantage or disadvantage any Learner or group of Learners, whether or not they have had a Reasonable Adjustment applied;
- rejects, or allows Centres to reject, requests for Reasonable Adjustments which meet the criteria it has set out for that Reasonable Adjustment to be applied, or does not provide a clear reason to the Centre or Learner where it rejects a request.

Condition G7 - Arrangements for Special Consideration

G7.1 An awarding organisation must have in place clear arrangements for Special Consideration to be given to Learners in relation to qualifications which it makes available.

G7.2 An awarding organisation must publish details of its arrangements for giving Special Consideration, which must include details as to –

- (a) how a Learner qualifies for Special Consideration, and
- (b) what Special Consideration will be given.

Guidance on Condition G7

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- sets out clearly the types of Special Consideration, if any, that are appropriate for each qualification for Learners who have suffered an illness, injury or other event outside of their control. Special Consideration could include, but is not limited to:
 - an adjustment to a Learner's mark for a Learner whose performance in an assessment has been affected;
 - an adjustment to the arrangements for accessing an assessment for a Learner who is not disabled, but whose ability to access the assessment has been affected by an injury or illness;
 - carrying over the fee for an assessment that the Learner was unable to take to a later assessment opportunity;
- has clear and consistent processes, which it communicates clearly to Centres or Learners, setting out:
 - whether Special Consideration is available for a particular qualification or assessment and if so the types of Special Consideration that may be made;
 - the point in the assessment process at which Special Consideration will be applied;
 - where Special Consideration is available for Learners who have not completed all of the assessments, the minimum amount of assessment evidence the Learner must have completed before a qualification can be awarded;
 - the eligibility criteria and evidence requirements to support a request for Special Consideration;
 - the process and timelines for applying for Special Consideration;
 - how the eligibility criteria will be applied in each case to make a decision about whether to approve Special Consideration for a Learner;
 - the process for Centres or Learners to appeal against a decision not to grant Special Consideration;
- ensures that in each case where it allows Special Consideration, it is applied appropriately and consistently, balancing the need to ensure that the qualification gives a reliable indication of the knowledge, skills and understanding being measured, with the need to ensure that as far as possible, Learners are not disadvantaged because of an illness, injury, or other event outside of their control;
- takes into account the qualification's objective when it decides the types of Special Consideration, if any, that should be available – types of Special Consideration available could include, but are not limited to:
 - awarding additional marks where a Learner has been able to take an exam but where their performance has been affected by an illness, injury or other exceptional event outside of their control;
 - making arrangements to allow a Learner to access an exam, such as providing assistance to write in a written exam for a Learner who has suffered an injury which prevents them from writing;

- allowing an alternative assessment opportunity for the Learner at a later date;
- does not provide Special Consideration where this would alter or prevent the qualification from providing a reliable indication of the knowledge, skills and understanding being measured by the assessment objectives;
- does not provide Special Consideration where this would unfairly advantage or disadvantage Learners;
- ensures that Learners who have experienced an illness, injury or other event outside of their control, which will affect their ability to demonstrate their knowledge, skills and understanding, are not unfairly advantaged or disadvantaged, as far as is possible, where Special Consideration is applied;
- considers each application for Special Consideration and:
- applies clear and consistent criteria for determining each application, so that like cases are treated alike;
- where issues affect a whole Centre or a number of Centres (for example flooding) considers the need for consistency in similar cases, including between other relevant awarding organisations;
- where it rejects an application, provides a clear reason to the Centre or Learner;
- provides a process for the Centre or Learner to appeal against its decision;
- keeps a record of the decisions it makes;
- collects and analyses data on the number of requests for Special Consideration made and approved. This could include, for example, requests by qualification, subject and Centre and the impact of any requests approved, for example changes to overall results;
- uses data to identify and prevent potential misuse of Special Consideration by a Centre and acts on any findings;
- has a process in place to monitor each Centre's applications for Special Consideration and takes action where a Centre is not using the provision appropriately. The checks are sufficiently regular and detailed to identify misuse of Special Consideration;
- reviews and evaluates the effectiveness of its arrangements for Special Consideration, taking account of its own monitoring, information from Centres, Learners, Users of qualifications and any Ofqual requirements.

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- fails to:
 - make its approach to Special Consideration clear, including, where relevant, being clear about where Special Consideration is not available;
 - determine requests for Special Consideration in a fair, timely and consistent way;
 - consider requests for Special Consideration, where it is allowed, from Centres or Learners;
 - respond appropriately to complaints about its arrangements for Special Consideration;
- does not monitor, in a way that would enable it to identify any misuse, how Centres are using Special Consideration;
- approves requests for Special Consideration which:

- are not based on sufficient evidence; or
- unfairly advantage any Learner or group of Learners, whether or not they have had a Special Consideration applied;
- rejects requests for Special Consideration which meet the criteria it has set out for that Special Consideration to be applied.

Condition G8 - Completion of the assessment under the required conditions

G8.1 An awarding organisation must take all reasonable steps to ensure that, in relation to qualifications which it makes available –

- (a) evidence generated by a Learner in an assessment is generated by that Learner (or includes evidence generated by that Learner as a contribution to group work), and
- (b) where an assessment is required to be completed under specified conditions, Learners complete the assessment under those conditions (other than where any Reasonable Adjustments or Special Consideration require alternative conditions).

Guidance on Condition G8

Examples of 'positive indicators' that would suggest an awarding organisation is likely to comply

The awarding organisation:

- designs its qualifications so that:
 - the conditions under which assessments or tasks must be completed are able to be delivered by Centres and Assessors;
 - as far as is possible, the awarding organisation, Centres or Assessors can determine whether work has been produced by the Learner being assessed;
- considers the possible risks to assessments being completed under the specified conditions or to being able to authenticate Learners' work and designs assessments (for each assessment or subject) and tasks to mitigate these risks;
- sets clear requirements for the conditions under which Learners must complete the assessment and communicates these clearly to Centres, ensuring appropriate guidance and support (which could include training) is provided, including for relevant Centre staff. These could include, but are not limited to, requirements for:
 - the resources or materials required for Learners to complete the assessment;
 - its expectations of Centres and their staff in relation to ensuring the assessment is completed under the required conditions and that work is completed by the Learner for whom it is submitted;
 - conducting the assessment, including where appropriate, the environment/location and conditions under which it must be completed;
 - any relevant administrative and security arrangements, such as restrictions on the timing of access to assessment materials;
 - any invigilation, supervision or verification arrangements;

- the way in which any practical assessments must be conducted;
- any restriction on the number of occasions on which the assessment can be undertaken;
- the way in which any group work is assessed and how the knowledge and skills of each individual Learner should be identified;
- the extent, if any, to which Learners can redraft or refine their work and benefit from Centre feedback;
- how it will enforce its requirements, check that Centres follow them and the possible sanctions if they do not;
- where Centres set and deliver assessments, ensures that Centres have in place appropriate arrangements to meet the awarding organisation's requirements;
- takes all reasonable steps to ensure that the Learner has produced the work being assessed. These could include, but are not limited to:
 - requiring Centres to identify Learners using methods such as photographic identification, signatures or other unique identifiers to confirm that the Learner is who they say they are;
 - requiring declarations that the work has been produced by the Learner for whom it is being submitted, for example a statement by the Learner, and/or the Centre and/or an Assessor, depending on the nature of the assessment;
 - determining the contribution made by individual Learners to group tasks and assessments;
 - making arrangements to ensure that work submitted by private/external candidates has been produced by the Learner;
 - ensuring relevant Centre and awarding organisation staff are trained on how to identify where a Learner's work may not be their own and what to do where this is the case;
- checks that the assessment is completed under the required conditions and that Learners have produced the work being assessed, for example by carrying out regular checks, including some unannounced, on Centres delivering assessments;
- investigates cases where it believes its requirements are not being met and takes appropriate action where it finds evidence that this is the case. The actions it takes, combined with its monitoring arrangements, are an effective incentive for Centres to comply with their obligations;
- keeps its processes for ensuring the assessment is completed under the required conditions and that work is produced by the Learner under review. It reviews and acts on feedback from its own monitoring, from Centres, from Ofqual and other relevant sources to improve its arrangements as necessary.

Examples of 'negative indicators' that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- does not take appropriate steps during the design of the qualification to remove or reduce risks that the assessment is not completed under the required conditions or that Learners' work cannot be authenticated;
- does not set, or make available to Centres, clear requirements setting out:
 - the conditions under which assessments must be completed;
 - arrangements for ensuring and confirming that the work being assessed is produced by the Learner;

- sets requirements which are not manageable for Centres;
- does not provide appropriate training or support to Centres on its requirements;
- sets assessments which require group work where it is not possible to determine the contribution of each individual Learner;
- credits, or allows Centres to credit, Learners for an assessment for which it cannot be satisfactorily verified that the work has been produced by that Learner;
- allows an assessment to be taken under conditions other than those it has specified, except where a Reasonable Adjustment or Special Consideration applies;
- does not effectively monitor, to enable it to identify where Centres are not meeting its requirements;
- does not promptly investigate or take appropriate, effective and consistent action where there is evidence that its requirements are not being met;
- does not make appropriate changes or improvements to its requirements where it has identified issues with its arrangements.

Condition G9 - Delivering the assessment

G9.1 An awarding organisation must ensure that every assessment for a qualification that it makes available is delivered effectively and efficiently.

G9.2 An awarding organisation must ensure that, on delivery of every assessment for a qualification that it makes available, the assessment:

- (a) is fit for purpose,
- (b) permits Reasonable Adjustments to be made, while minimising the need for them,
- (c) allows each Learner to generate evidence which can be Authenticated,
- (d) allows each specified level of attainment detailed in the specification to be reached by a Learner who has attained the required level of knowledge, skills and understanding, and
- (e) allows Assessors to be able to differentiate accurately and consistently between a range of attainments by Learners.

G9.3 An awarding organisation must ensure that, on delivery of every assessment for a qualification that it makes available, the content of the assessment:

- (a) is fit for purpose,
- (b) is appropriate for the method of assessment chosen, and
- (c) is consistent with the specification for that qualification.

Guidance on Condition G9

Examples of ‘positive indicators’ that would suggest an awarding organisation is likely to comply

The awarding organisation:

- clearly sets out how its assessments must be delivered to ensure that they are valid and delivered effectively and efficiently and communicates its requirements clearly to Centres;
- ensures that, as far as is possible, all assessments are delivered consistently within and across Centres and in accordance with its requirements, for example by:
 - providing consistent guidance and support (which could include training) for Centres delivering assessments and tasks;
 - providing guidance to Centres about the conditions that are required to ensure that Learners have opportunities to demonstrate their knowledge, skills and understanding under appropriate conditions, including, where appropriate, in the workplace;
- ensures that all assessments delivered:
 - include content that covers the knowledge, skills and understanding in the specification to the extent required for a particular assessment;
 - use assessment arrangements which deliver valid assessments, whilst ensuring as far as is possible that equipment or materials required are reasonably obtainable for Centres;
 - enable Learners to demonstrate the extent to which they have the knowledge, skills and understanding required by the qualification – for graded qualifications, this should be for the full range of Learners targeted;
 - enable the awarding organisation to differentiate effectively between Learners (that is, on the basis of the knowledge, skills and understanding being assessed) – for graded qualifications this should be across the range of attainment targeted by the assessment;
 - award marks or credits that are representative of the demands of the questions/tasks;
 - can be consistently applied by Assessors, moderators and verifiers to ensure accurate and consistent judgements are made about the attainment of Learners;
- monitors the way assessments are delivered and the use of appropriate safeguards to identify and authenticate each Learner’s work;
- only uses group assessments where it is an effective way to assess the skills being measured and where the contribution of each Learner can be identified and authenticated;
- monitors the delivery of assessments to ensure its requirements are being met, for example by carrying out regular checks on Centres’ practices, and takes action where this is not the case;
- keeps its arrangements for delivering assessments under review, making changes to its arrangements where necessary to address any issues.

Examples of ‘negative indicators’ that would suggest an awarding organisation is not likely to comply

The awarding organisation:

- delivers assessments, or permits Centres to deliver assessments, which cannot be delivered efficiently or effectively, for example because:
 - procedures or assessments add unnecessary costs (including those which are not directly incurred) to Centres or Learners;
 - resources and equipment required are not reasonably obtainable for Centres;
 - insufficient information is provided to Centres about the requirements they have to meet;
 - there is insufficient time available for Centres to deliver assessments or tasks to all Learners in line with the awarding organisation’s requirements;
- uses assessment types in which the work of individual Learners cannot be authenticated, for example:
 - setting assessments or tasks which are completed without supervision and without suitable alternative safeguards in place;
 - setting group tasks where the contribution of individual Learners cannot be distinguished;
- delivers assessments which do not allow it to measure the extent to which Learners have the knowledge, skills and understanding required by the qualification or which do not differentiate validly between the full range of attainment by Learners;
- delivers assessments which discriminate between Learners on the basis of factors other than the knowledge, skills and understanding being measured by the qualification, for example:
 - because the language or vocabulary used in an assessment prevents a Learner understanding what is being assessed;
- because a Learner who is familiar with the context in which an assessment task is set, but which is unrelated to the knowledge and skills being assessed, will be advantaged over a Learner who is unfamiliar with that context

Guidance on safeguarding confidentiality where Teachers are involved in developing assessments

Introduction

Many awarding organisations use Teachers in the development of assessments, and there can be clear benefits to doing so. Experienced Teachers have detailed subject knowledge and understand how Learners are likely to respond to questions. It requires skill and experience to develop successful exam papers and other forms of assessment. Assessments must be comprehensible to Learners while allowing appropriate differentiation between them. Assessments must not be too predictable, but neither must they stray from what has been taught. They must be capable of being completed within the allocated time and must be of the same level of demand whenever they are taken.

However, we expect awarding organisations to be alive to the risks to confidentiality to which the use of practising Teachers gives rise, and to use appropriate safeguards to ensure compliance with the Conditions.

This guidance identifies a number of Conditions that place obligations on awarding organisations which are relevant to this issue. It also outlines some of the factors that will be relevant in an awarding organisation's analysis of the strength of the safeguards it needs and gives some examples of the types of safeguards that might be used.

There is no 'one size fits all approach' to mitigating the risks of a Teacher misusing confidential information about assessments. Each awarding organisation must use safeguards that are appropriate for each of its qualifications. Responsibility for taking a suitably robust approach to complying with the Conditions sits with each awarding organisation, having had regard to this statutory guidance, as well as the specific guidance in relation to the relevant Conditions.

In the guidance below 'confidential assessment information' refers to both the contents of assessment materials, and information about the assessment, in relation to which confidentiality must be maintained under Condition G4.1.

What requirements must an awarding organisation meet?

The Conditions below are especially relevant to the risks around the involvement of Teachers in the development of assessments.

- Condition A4.2 requires an awarding organisation to identify and monitor all current and reasonably foreseeable conflicts of interest (as defined in Condition A4.1) that relate to it. This will include identifying any relevant teaching roles held by Teachers involved in the development of assessments, and monitoring any such conflict.
- Condition A4.4 requires an awarding organisation to take all reasonable steps to ensure that no conflict of interest that relates to it has an Adverse Effect. An awarding organisation is thus required to do everything that it can to ensure that no Teacher involved in developing assessments breaches confidentiality. Where an Adverse Effect does occur, Condition A4.5 requires an awarding organisation to take all reasonable steps to mitigate that effect as far as possible and correct it.
- Condition A6.1 requires an awarding organisation to take all reasonable steps to identify the risk of occurrence of any incident that could have an Adverse Effect. This will include an awarding organisation's assessment of risk in relation to breaches of confidentiality by Teachers involved in assessment development. Condition A6.2 requires an awarding organisation to take all reasonable steps to prevent any such incident from occurring and prevent (or if it cannot be prevented, mitigate) any Adverse Effect that the incident would have if it occurred.
- Where an incident occurs which could have an Adverse Effect, Condition A7.1 requires an awarding organisation to promptly take all reasonable steps to prevent the Adverse Effect – or, where it occurs, to mitigate and correct it as far as possible and give priority to making sure the assessments accurately differentiate between Learners.
- Condition A8.1 requires an awarding organisation to take all reasonable steps to prevent the occurrence of malpractice in the development, delivery or award of

qualifications. A deliberate breach of confidentiality in relation to assessments will almost certainly constitute malpractice. Where any such malpractice is reasonably suspected or alleged, Condition A8.2 requires an awarding organisation to investigate it.

- Where malpractice is established, Condition A8.6 requires an awarding organisation to take all reasonable steps to prevent it from reoccurring and to take proportionate action against those responsible, or seek the cooperation of third parties in taking such action.
- Where an awarding organisation arranges for a third party – such as a Teacher – to undertake any part of qualification development on its behalf, Condition C1.1 requires the awarding organisation to (i) ensure that those arrangements enable the awarding organisation to comply with the Conditions, and (ii) to monitor and enforce those arrangements where necessary to ensure compliance with the Conditions.
- Condition G4.1 requires an awarding organisation to take all reasonable steps to maintain the confidentiality of the content of, or information about, assessment materials where this is required to ensure the qualification reflects an accurate measure of attainment. In particular, Condition G4.5(b) requires an awarding organisation to take all reasonable steps to ensure that no Teacher or other third party involved in the development of assessments breaches, or offers to breach, such confidentiality.

Factors in deciding what safeguards are appropriate

Each awarding organisation must use safeguards that are appropriate for each of its qualifications.

In determining the package of safeguards that would be appropriate, we expect an awarding organisation to consider all relevant factors. In particular, we expect an awarding organisation to consider the following:

- The nature and amount of confidential assessment information held by a Teacher – We will expect that the more confidential assessment information that a Teacher has about an assessment – or the greater the effect that its disclosure would have on the fitness for purpose of the assessment – the stronger the package of safeguards an awarding organisation will need to use to meet the requirements of the Conditions.
- The Teacher's role in delivering qualifications – We expect that the more directly a Teacher is involved with delivering the qualification for which he or she holds confidential assessment information, the stronger the package of safeguards that will be needed. A stronger package of safeguards should be used for a Teacher currently involved in teaching the relevant qualification, including as a private tutor, than for a Teacher who teaches an alternative qualification (such as one offered by a different awarding organisation), or who is no longer actively teaching.
- Potential pressures on Teachers to misuse confidential assessment information – We expect that an awarding organisation will take stronger steps to prevent a Teacher inappropriately using confidential assessment information about a qualification used for school or college accountability purposes, or which is particularly high stakes because it directly affects a Learner's progression options or life chances. This will include, in particular, qualifications that are used for progression to higher education, or which confer a licence to practise.

- The impact if confidential assessment information is misused – In considering what safeguards to put in place, we expect an awarding organisation to consider the ease with which it could replace assessment materials, or Learners could re-take an assessment, should a Teacher be found to have made inappropriate use of confidential assessment information.

For example, it is likely to be more difficult for an awarding organisation to mitigate the impact of an inappropriate disclosure in relation to a qualification that is assessed once annually, is taken by large numbers, and for which there is a pre-determined results date (such as GCSEs and A levels) than for a qualification for which there are regular assessment opportunities.

Some qualifications will be awarded on the basis of one assessment only, whereas for others, a number of assessments will contribute to the final result. In qualifications for which there are multiple assessments, if one assessment is compromised, a result might be awarded based on a Learner's performance in the other assessments. The number of assessments that contribute towards a qualification is therefore a further factor for an awarding organisation to consider when determining the ease with which it could mitigate the impact of a breach of confidentiality.

Potential safeguards

Below are some examples of the potential safeguards that an awarding organisation may use to prevent the disclosure of confidential assessment information or to limit any Adverse Effect resulting from such a disclosure. The examples we provide relate to:

- assessment development and design;
- support for Teachers and Centres; and
- detection and deterrence.

Each awarding organisation must consider what (if any) safeguards will be required in relation to each of its qualifications, taking into account all relevant factors, including those outlined in the previous section.

We expect an awarding organisation to consider the appropriate balance between up-front measures to prevent and (if necessary) mitigate the disclosure of confidential assessment information, and end-point measures which allow it quickly to identify and mitigate any disclosure that takes place.

Assessment development and design

(a) Teachers are not involved in developing confidential assessment materials – The surest way for an awarding organisation to guard against Teachers inappropriately using confidential assessment information is to make sure no Teachers have such information. An awarding organisation could choose to keep its assessment production process entirely in-house and not contract services from currently employed Teachers. It could secure any necessary Teacher insights and expertise from recently retired Teachers or Teachers who are taking a break from teaching.

(b) Teachers involved with developing confidential assessment materials cannot teach the qualification – An awarding organisation might stipulate that any Teachers it engages to develop confidential assessment materials must not themselves teach

the qualification for which those materials would be used, while those materials remained confidential. Its contractual provisions would need to address the risks of disclosure to teaching colleagues and address the opportunities for the Teacher to work as a private tutor, for example.

While the above two approaches might work well for some qualifications, an awarding organisation would need to balance their use against the different risks to which they could give rise, including to the quality of the assessments developed. In relation to the second example, Teachers might not wish to develop assessments for qualifications they are not allowed to teach. Such a prohibition could limit their ability to change jobs and the options of their Centre to change awarding organisation.

(c) No serving Teacher knows whether or when the assessment materials they have developed or seen will be used – An awarding organisation might commission Teachers to write whole or parts of assessments, but the decision on whether or when the materials would be used would be tightly controlled and not be known to any Teacher. The use of a question bank, or question paper bank, may achieve the necessary degree of uncertainty, although consideration would need to be given to the size of the question bank and the frequency with which it is updated (and it would still need to be made clear to Teachers that information in relation to each question or task within the bank was confidential). We will view each individual item in a bank as confidential. However, the number of items in the bank, and the structure of the relevant assessment, will be relevant to the risks arising from any breach of confidentiality in relation to an individual item, and how easily the Adverse Effect arising from any such breach can be mitigated.

The form and degree of unpredictability needed to make this approach an effective safeguard will vary by qualification. An awarding organisation should consider the number and the nature of the assessment tasks/questions, whether the tasks/questions would be memorable if seen in advance, and whether a Learner who had prior information about the task/question would likely be advantaged over others.

For qualifications such as GCSEs, A levels and the main alternatives, the stakes of the qualification, for both Learners and Centres, are sufficiently high that we will normally expect an awarding organisation to manage its assessment development in such a way so no Teacher of the relevant qualification knows with certainty the content of any specific assessment. Where it does not do so, we will expect an awarding organisation to be able to offer a compelling justification for any alternative approach.

(d) No serving teacher is involved with developing all of the assessments for any one qualification – Where the confidentiality of one assessment has been compromised by a Teacher, an awarding organisation might disregard the affected Learners' performance in that assessment and estimate their overall mark based on their performance in the other assessments for the qualification, relative to the performance of other Learners who completed all of the assessments (an 'assessed result'). This will only be possible where there is more than one assessment for the qualification, and not all of those assessments have been compromised by the Teacher's actions.

An awarding organisation that allows Teachers to develop assessments for qualifications they also teach might ensure that no such Teacher sees all the

assessments to be taken by a Learner for that qualification (for example, both exam papers). This would limit the impact, including on Learners, of a Teacher inappropriately using confidential assessment information. It could also assist with the awarding organisation's monitoring activities as it would allow the awarding organisation to consider whether Learners performed better than expected in the assessment their Teacher had developed or otherwise seen, relative to their performance in their other assessments.

Support for Teachers and Centres

The types of support an awarding organisation might give to a Teacher who holds confidential assessment information include:

- clear contractual arrangements setting out the Teacher's obligations with respect to confidential assessment information and any limitations on other roles the Teacher could undertake while information he or she held remained confidential,
- providing training and advice to the Teacher in relation to maintaining confidentiality of assessment materials and information,
- having direct contact with the Teacher's Centre to emphasise the importance of ethical practice, the potential consequences of wrong-doing and the support the Centre might provide the Teacher to avoid deliberately or sub-consciously using the information they hold in an inappropriate way, and
- requiring annual declarations from the Teacher that he or she understands and will at all times comply with their obligations to protect confidential assessment information.

Where a Teacher has access to confidential assessment information, we will expect an awarding organisation's contract with that Teacher to at least provide for termination in the event of any deliberate disclosure of such information.

Detection and deterrence

An awarding organisation is required to actively monitor all conflicts of interest that apply to it (Condition A4.2), as well as its contractual arrangements (Condition C1.1(b)). It is also required to take all reasonable steps to prevent:

- any conflict of interest having an Adverse Effect (Condition A4.4),
- the occurrence of any incident that could have an Adverse Effect (Condition A6.2(a)),
- any malpractice in relation to the development and award of qualifications (Condition A8.1), and
- any breach of confidentiality in relation to confidential assessment information (Condition G4.1).

A Teacher who holds confidential assessment information may be deterred from using that information inappropriately if he or she knows that such use is likely to be detected. We will therefore expect an awarding organisation to consider whether, in view of the risks it faces in relation to a particular qualification, the transparent use of any monitoring procedures will be a reasonable step to take to meet the requirements of the above Conditions.

We will expect awarding organisations to undertake some level of monitoring in relation to high stakes qualifications in relation to which Teachers hold confidential assessment information. We also expect them to investigate thoroughly any allegations or evidence of malpractice.

The monitoring undertaken by an awarding organisation may be shaped by the safeguards that it has put in place at the development stage. For example, more robust upfront safeguards may mean that less rigorous monitoring is required. However, an awarding organisation must always be alive to the risk of a breach of confidentiality – no matter how robust its upfront safeguards – and the need to swiftly identify and deal with any breach that occurs.

Some examples of the types of monitoring and investigation that an awarding organisation could undertake are as follows:

- reviewing the evidence generated in the relevant assessment by Learners whose Teacher had confidential assessment information to look for any unusual patterns in their responses;
- in response to allegations of a breach of confidentiality by a Teacher, looks for signs in their teaching plans, teaching materials and formative assessments that they had inappropriately narrowed their teaching or disclosed confidential information;
- monitoring social media to look for signs that confidential assessment information has been disclosed; and
- undertaking statistical monitoring to look for unusual results or patterns of results in Centres where Teachers with confidential assessment information are teaching.

In each case an awarding organisation should consider whether a particular type of monitoring or investigation will yield reliable information, whether in isolation or as part of a wider range of evidence.

Examples

We have set out above some general indications as to when we will expect to see stronger safeguards depending on the risks associated with a particular qualification.

The following examples illustrate the different safeguards that an awarding organisation may choose to put in place for qualifications with different risk profiles. These examples are not intended to mandate any particular approach in relation to any particular type of qualification but rather – when read together with the sections above – to aid an awarding organisation's own consideration of how best to comply with the Conditions.

NO

Example 1

The qualification and associated risks	One possible approach
<p>A high stakes qualification used for school accountability purposes, taken by c. 250,000 Learners annually and used to support progression to employment or higher education.</p> <p>The assessments comprise two unseen written exam papers, each containing six questions from which Learners must attempt three questions.</p> <p>The nature and number of questions on each paper makes them memorable and, if known in advance, teaching and learning could be narrowed.</p> <p>The impact of a breach would be high, including because of the numbers of Learners who could be affected and the damage to public confidence. The awarding organisation considers that Teacher input to developing the assessment materials will enhance the quality of the assessments and, because risks can be managed as set out below, it decides to retain that input.</p>	<p>In light of the potential impact of any breach of confidentiality, and the opportunities to narrow teaching and learning if the exam questions are known in advance, the awarding organisation:</p> <p>(a) commissions three Teachers to each write questions on specific aspects of the curriculum and requires them to document the assessment objectives and their relative weightings that will be assessed for each question, for use when the exam paper is put together;</p> <p>(b) ensures that no one Teacher knows which of his or her questions will be used in any particular exam paper in any particular assessment series and does not see the questions developed by the other Teachers;</p> <p>(c) identifies a permanent member of staff, advised by a recently retired Teacher of the qualification, to select the questions to be used in the two exam papers for any assessment series.</p> <p>(d) sets out in their contracts the Teachers' obligations with regard to the confidential materials, and provides for the termination of the contract in the event of disclosure of confidential assessment information by the Teacher;</p> <p>(e) makes sure each Teacher's head of Centre knows the role the Teacher has played and that he or she will not know whether or when the questions they have written will be used; and</p> <p>(f) reviews the Learners' scripts of at least one of the Teachers each year to look for unusual patterns of responses.</p>

Example 2

The qualification and associated risks	One possible approach
<p>A high stakes qualification used for school accountability purposes, taken by c.100,000 Learners annually and used to support progression to employment or higher education.</p> <p>The assessments comprise three unseen written exam papers, each covering different aspects of the curriculum. Learners must attempt all questions on each paper.</p> <p>The nature and number of questions on each paper means they are not particularly memorable. The nature of both the subject content and of the exam questions means that, even if the questions were known in advance, teaching and learning the whole of the curriculum would be needed to secure a good mark.</p> <p>The impact of a breach would be high, including because of the numbers of Learners who could be affected and the damage to public confidence. The awarding organisation has had difficulties recruiting people with appropriate subject and assessment expertise to develop the assessments. In the longer term it commits to commissioning the writing of multiple papers so no Teacher currently teaching the qualification who develops assessments knows if or when any particular assessment will be used.</p>	<p>In the short term it is concerned the extra workload of such an approach would deter anyone considering applying for an examiner role. It therefore engages two Teachers who currently teach the qualification to each write one of the papers. The third paper is written by a full-time employee who, until recently, had taught the specific aspects of the curriculum assessed by that paper. Neither of the Teachers sees the two papers that they have not written, only the employee sees all three.</p> <p>The awarding organisation reviews the exam scripts of the Learners who were taught by the two Teachers to look for any unusual patterns of response. It also undertakes a statistical analysis to determine whether the Learners' performance in the paper their Teacher had developed was out of line with their performance in the other papers, relative to the performance of all Learners taking the qualification. It interviews the Teacher and the Learners, where appropriate, to understand the reasons for any unusual patterns.</p> <p>Each Teacher's contract with the awarding organisation sets out the Teacher's obligations with regard to the confidential assessment information, and provides for the termination of the contract in the event of disclosure of such information by the Teacher.</p> <p>The awarding organisation makes sure each Teacher's head of Centre knows the role they have played and advises them of the steps it will take to detect any inappropriate use of the information held by the Teacher.</p>

Example 3

The qualification and associated risks	One possible approach
<p>A high stakes qualification for the Learner and for those who rely on the qualification as an indication of competence to practise.</p> <p>Assessment is by observation of the Learner undertaking a predetermined set of tasks which are well known and will have been practised extensively before undertaking the assessment.</p> <p>The nature of the assessment is intentionally highly predictable, as the Learners are assessed on their competence in performing a known set of tasks.</p>	<p>As Learners know they will be assessed on their full range of skills, and the assessments are intentionally predictable, the awarding organisation does not consider it necessary to limit who can write the tasks or to use particular safeguards where practitioners who write the tasks also employ people who are preparing for the assessments. It does not therefore adopt any additional safeguards.</p>

NOT YET IN FORCE

Section H - From marking to issuing results

Rules about marking, moderation, setting specified levels of attainment and results

Condition H1 - Marking the assessment

Marking

H1.1 For each qualification which it makes available, an awarding organisation must have in place effective arrangements to ensure that, as far as possible, the criteria against which Learners' performance will be differentiated are –

- (a) understood by Assessors and accurately applied, and
- (b) applied consistently by Assessors, regardless of the identity of the Assessor, Learner or Centre.

Marking options

H1.2 Where –

- (a) an awarding organisation offers an option as to tasks which may be completed by a Learner in an assessment or as to assessments which may be completed by the Learner (including units),
- (b) the awarding organisation reasonably concludes that there is a material inconsistency between the Level of Demand of two optional tasks or assessments, and
- (c) it is likely that the inconsistency will prejudice a group of Learners,

the awarding organisation must make a reasonable alteration to the criteria against which Learners' performance will be differentiated for the optional task or assessment so as to prevent that prejudice from occurring.

H1.3 Where such a reasonable alteration is made for an optional task or assessment, an awarding organisation must ensure that the alteration is applied uniformly in the marking of every task or assessment in relation to which a Learner has taken that option.

There is currently no guidance on complying with these Conditions

Condition H2 - Moderation where an assessment is marked by a Centre

Condition H2 does not apply to:

- spoken language assessments in GCSEs (graded 9 to 1) in English language
- assessments of speaking, listening and communication in reformed Functional Skills qualifications in English
- practical science assessments in reformed A levels in Biology, Chemistry and Physics, as well as reformed A levels in Geology

H2.1 Where evidence generated by a Learner in an assessment for a qualification made available by an awarding organisation is marked by a Centre, the awarding organisation must have in place clear and effective arrangements to undertake Centre Assessment Standards Scrutiny in respect of the assessment.

H2.2 An awarding organisation must ensure that in respect of any Centre Assessment Standards Scrutiny which it undertakes it complies with –

- (a) any requirements, and has regard to any guidance, which may be published by Ofqual and revised from time to time, and
- (b) any requirements which Ofqual has communicated to it in writing.

Moderation

H2.3 An awarding organisation's arrangements in respect of Centre Assessment Standards Scrutiny –

- (a) must include Moderation –
 - (i) of an assessment for a qualification specified in a list which may be published by Ofqual and revised from time to time, and
 - (ii) in circumstances which Ofqual has communicated to the awarding organisation in writing, and
- (b) in all other cases, may include Moderation.

H2.4 An awarding organisation must ensure that any Moderation which it undertakes allows it effectively to determine whether or not –

- (a) the assessment remains fit for purpose, and
- (b) the criteria against which Learners' performance is differentiated are being applied accurately and consistently by Assessors in different Centres, regardless of the identity of the Assessor, Learner, or Centre.

H2.5 An awarding organisation must –

- (a) ensure that any such Moderation which it undertakes ensures that it is able to make any necessary changes to a Centre's marking of evidence generated by a Learner in an assessment, and
- (b) make such a change wherever it considers it necessary in order to ensure that the assessment remains fit for purpose or that the criteria against which

Learners' performance is differentiated are being applied accurately and consistently.

Centre Assessment Standards Scrutiny strategy

H2.6 In respect of each qualification which it makes available, or proposes to make available, where evidence generated by a Learner is marked by a Centre an awarding organisation must –

- (a) establish and maintain a Centre Assessment Standards Scrutiny strategy for that qualification,
- (b) ensure that its strategy complies with any requirements which may be published by Ofqual and revised from time to time, and
- (c) have regard to any guidance in relation to Centre Assessment Standards Scrutiny strategies which may be published by Ofqual and revised from time to time.

H2.7 In particular, an awarding organisation must ensure that the Centre Assessment Standards Scrutiny strategy for a qualification sets out how the awarding organisation intends to secure, on an ongoing basis, compliance with Conditions H2.1 to H2.5 in respect of the assessments for that qualification.

H2.8 An awarding organisation must ensure that all Centre Assessment Standards Scrutiny which it undertakes complies with its strategy established under this Condition.

H2.9 An awarding organisation must –

- (a) keep under review its Centre Assessment Standards Scrutiny strategy, and revise it where necessary, so as to satisfy itself that the strategy meets at all times the requirements of Conditions H2.6 and H2.7,
- (b) when requested to do so by Ofqual in writing, promptly submit to Ofqual that strategy, and
- (c) review that strategy promptly upon receiving a request from Ofqual to do so, and subsequently ensure that its strategy complies with any requirements that Ofqual has communicated to it in writing.

H2.10 An awarding organisation must –

- (a) upon receiving a request from Ofqual to do so, demonstrate to Ofqual's satisfaction that it has complied with its Centre Assessment Standards Scrutiny strategy in respect of any particular assessment, or provide an explanation to Ofqual as to why it has not so complied, and
- (b) give effect to any recommendation that Ofqual may make in respect of its compliance with its Centre Assessment Standards Scrutiny strategy.

There is currently no guidance on complying with these Conditions

Condition H3 - Monitoring the specified levels of attainment for a qualification

H3.1 Before setting a specified level of attainment for a qualification which it makes available, an awarding organisation must review the specified levels of attainment set for –

- (a) the qualification previously,
- (b) similar qualifications it makes available, and
- (c) similar qualifications made available by other awarding organisations,

and must use the results of this monitoring to ensure that the specified level of attainment it sets for the qualification will promote consistency in measuring the levels of attainment of Learners over time and between similar qualifications.

There is currently no guidance on complying with this Condition

Condition H4 - Adjudication by Ofqual of specified levels of attainment for a qualification

H4.1 Where –

- (a) an awarding organisation makes available a qualification,
- (b) at least one other awarding organisation makes available a qualification which is viewed by the generality of Users of qualifications as being a direct equivalent to that qualification
- (c) each awarding organisation sets the specified level or levels of attainment for the equivalent qualification that they respectively make available,
- (d) Ofqual considers that a specified level of attainment set by an awarding organisation prevents the equivalent qualifications from indicating a consistent level of attainment (including, where Ofqual considers appropriate, over time), and
- (e) Ofqual specifies to an awarding organisation, in writing, requirements in relation to a specified level of attainment for the qualification which it makes available (either for a particular assessment cycle or during a particular time period),

any awarding organisation to which Ofqual has specified such requirements must ensure that, before the qualification is awarded for that assessment cycle or during that time period, the specified level of attainment for the qualification complies with those requirements.

There is currently no guidance on complying with this Condition

Condition H5 - Results for a qualification must be based on sufficient evidence

H5.1 An awarding organisation must ensure that the result of each assessment taken by a Learner in relation to a qualification which the awarding organisation makes available reflects the level of attainment demonstrated by that Learner in the assessment.

H5.2 An awarding organisation must ensure that –

- (a) the marking of an assessment in relation to, and
- (b) the awarding of,

a qualification which it makes available takes into account all admissible evidence generated by a Learner as part of that assessment.

H5.3 Where an awarding organisation sets a rule as to the quantity or type of evidence generated by Learners which will be admissible in an assessment, it must ensure that –

NOT YET IN FORCE

- (a) the assessment makes the rule clear, and
- (b) the rule is applied to all Learners taking the assessment (other than where any Reasonable Adjustments or Special Consideration require it to be altered).

H5.4 Where an awarding organisation sets a rule as to how the final mark for a qualification will be calculated from marks for different assessments, it must ensure that –

- (a) the qualification makes the rule clear, and
- (b) the rule is applied to all Learners taking the qualification (other than where any Reasonable Adjustments or Special Consideration require it to be altered).

There is currently no guidance on complying with these Conditions

Condition H6 - Issuing results

H6.1 An awarding organisation must, in relation to any qualification which it makes available –

- (a) issue results for all units and qualifications,
- (b) publish expected dates or timescales for the issue of those results,
- (c) issue results which are clear and readily capable of being understood by Users of qualifications
- (d) issue results which accurately and completely reflect the marking of assessments (including the outcome of any Centre Assessment Standards Scrutiny and other quality assurance process),
- (e) ensure that the issue of results is timely, and
- (f) take all reasonable steps to meet any date or timescale it has published for the issue of results.

H6.2 An awarding organisation must comply with any notice in writing issued by Ofqual under this condition requiring it to refrain from issuing results for a qualification or qualifications –

- (a) until such date as Ofqual might specify; and
- (b) until it has complied with such requirements as Ofqual might specify.

Correcting results

H6.3 Where an awarding organisation discovers that any result which it has issued is incorrect it must –

- (a) correct that result where the error is discovered through the application of an appeals process,
- (b) in all other cases –

- (i) consider whether it is appropriate to correct that result, having regard to any guidance on making changes to incorrect results published by Ofqual and revised from time to time, and
- (ii) correct that result where it considers it appropriate to do so.

There is currently no guidance on complying with this Condition

List of assessments that must be Moderated

Condition H2.3(a)(i) allows us to specify assessments which must be subject to Moderation by an awarding organisation.

We set out below our list for the purposes of Condition H2.3(a)(i).

Except where Condition H2 is disapplied by a Subject Level Condition, an awarding organisation must ensure that all assessments for the following qualifications are subject to Moderation where evidence generated by a Learner is marked by a Centre

- (a) Qualifications to which either the GCSE (9 to 1) Qualification Level Conditions or the GCSE (A* to G) Qualification Level Conditions apply,
- (b) Qualifications to which either the GCE Qualification Level Conditions or the Pre-reform GCE Qualification Level Conditions apply.
- (c) Qualifications to which the Qualification Level Conditions for Technical Qualifications apply.
- (d) Qualifications to which the Project Qualification Level Conditions apply.

Centre Assessment Standards Scrutiny requirements

Condition H2.2(a) allows us to specify requirements and guidance in relation to the Centre Assessment Standards Scrutiny undertaken by an awarding organisation.

We set out below our requirements for the purposes of Condition H2.2(a).

These requirements do not apply to assessments that are Moderated.

An awarding organisation must comply with these requirements in respect of each assessment which is not subject to Moderation where evidence generated by a Learner is marked by a Centre. This means that where, for example, a qualification has two assessments marked by Centres, one of which is subject to Moderation (either because it has been specified by Ofqual under Condition H2.3(a) or the awarding organisation has chosen to Moderate it under Condition H2.3(b)), the other assessment must be subject to Centre Assessment Standards Scrutiny in line with the requirements below.

Minimum requirements

An awarding organisation must ensure that, through its Centre Assessment Standards Scrutiny, it takes all reasonable steps effectively to determine whether or not –

- (a) an assessment remains, or was, fit for purpose, and

- (b) the criteria against which Learners' performance is differentiated are being, or were, applied accurately and consistently by Assessors in different Centres, regardless of the identity of the Assessor, Learner, or Centre.

An awarding organisation must ensure that the arrangements which it has in place to undertake Centre Assessment Standards Scrutiny meet at least the following minimum requirements –

Annual activities

Annual activities in respect of each Centre, undertaken either face-to-face or remotely, including –

- (a) consideration of marking undertaken by the Centre since the last such scrutiny,
- (b) where appropriate, observation of one or more assessments being taken, and
- (c) where appropriate, observation of the marking by the Centre of the assessments observed under (b).

Sampling

An awarding organisation must ensure that marking undertaken by the Centre in respect of all Components for a qualification is subject to scrutiny, although each Component does not need to be the subject of scrutiny every year.

An awarding organisation must ensure that it scrutinises an appropriate sample of marking by the Centre –

- (a) In considering what sample size is appropriate the awarding organisation must have regard to –
 - (i) any specific risks that relate to that Centre, assessment or qualification,
 - (ii) the number of Learners registered for the qualification at the Centre,
 - (iii) the range of attainments demonstrated by those Learners,
 - (iv) the number of Assessors at the Centre involved in marking the relevant assessment, and
 - (v) the number of persons involved in internal quality assurance in relation to marking at the Centre.
- (b) Where it considers it necessary in light of any risks that it has identified, an awarding organisation must select for scrutiny examples of marking by the Centre which go beyond those suggested by the Centre itself.

Training and competence

All Centre Assessment Standards Scrutiny must be carried out by persons who have –

- (a) appropriate competence,
- (b) been provided with appropriate training, and
- (c) no personal interest in the outcome of the scrutiny.

An awarding organisation must provide effective guidance to a Centre in relation to its Centre Assessment Standards Scrutiny including the minimum expectations that the Centre must meet.

Risk-based approach

An awarding organisation must take a risk-based approach to Centre Assessment Standards Scrutiny and must put in place arrangements which go beyond our minimum requirements where it considers it appropriate to do so both as part of its obligation under Condition D3.1 to keep its approach under review and, under Conditions A6 and A7, in response to any particular risk identified or incident which has occurred.

Guidance on Centre Assessment Standards Scrutiny other than Moderation

Condition H2.2(a) allows us to specify requirements and guidance in relation to Centre Assessment Standards Scrutiny undertaken by an awarding organisation.

We set out below our guidance for the purposes of Condition H2.2(a) in relation to complying with, and going beyond our minimum requirements. Those requirements, and the guidance below, do not apply to assessments that are Moderated. Separate guidance has been provided in relation to Moderated assessments.

An awarding organisation must have regard to this guidance in respect of each assessment which is not subject to Moderation where evidence generated by a Learner is marked by a Centre. This means that where, for example, a qualification has two Centre-marked assessments, one of which is subject to Moderation (either because it has been specified by Ofqual under Condition H2.3(a) or the awarding organisation has chosen to Moderate it under Condition H2.3(b)), the other assessment must be subject to Centre Assessment Standards Scrutiny in line with this guidance.

Complying with our minimum requirements

In line with our requirements published under Condition H2.2(a), an awarding organisation must conduct periodic Centre Assessment Standards Scrutiny, including scrutinising marking^{Note 1} undertaken by a Centre.

In our requirements, we set out a list of activities that must be undertaken annually in respect of each Centre. We expect that at least some of these annual activities will take place in person, rather than remotely, and that some will take place with short notice given to the Centre.

Forms of Centre Assessment Standards Scrutiny, other than Moderation, are not required to take place before final results are issued.

We set out below examples of the factors an awarding organisation should consider when determining its Centre Assessment Standards Scrutiny arrangements. We also provide examples of how an awarding organisation might adapt its approach to conducting Centre Assessment Standards Scrutiny in light of these factors.

These factors are not intended to be exhaustive, and the weight an awarding organisation attaches to them may vary, depending, for example, on the qualification, assessment or Centre in question.

An awarding organisation should consider these factors and explain its approach to a particular qualification, assessment or Centre in light of them as part of its Centre Assessment Standards Scrutiny strategy.

Factors that we would expect an awarding organisation to consider when determining its approach to conducting Centre Assessment Standards Scrutiny include the following –

- The typical course of study for the qualification – for example, whether it is sessional or whether it is roll-on/roll-off and whether there are fixed start or end points for the qualification.
- The typical duration of the course of study – for example, the number of terms a Learner typically takes to complete the qualification.
- The typical Learner for the qualification and type of Centre delivering it – for example, whether these are school/college students, or employees taking qualifications through a training provider or employer.
- The number of Components in the qualification and the number of these that are marked by a Centre.
- The typical evidence generated by a Learner in assessments for the qualification – for example, a portfolio of evidence, a performance or a task/assignment.
- The assessment model – for example, whether Components are graded or marked.
- The number of Learners taking the qualification – the overall number and whether these are following the same course of study, or are part of different intakes per term.

An awarding organisation's consideration of these factors may influence the controls it puts in place as part of its Centre Assessment Standards Scrutiny arrangements, for example in relation to –

- the typical frequency and type of monitoring activities it conducts in respect of the Centre,
- the timing of such monitoring activities – for example, whether these happen during or after each term,
- the number of Components sampled during monitoring activities – the number of Components and also which Components are sampled, for example whether these relate to Learners that have started the course of study at different times,
- the time period over which all Components for a qualification are sampled – for example, whether every Component is sampled every year,
- the number of Learners sampled during each activity for each Component,
- whether sample checking involves Learners that have already received results for their qualification or only those that have yet to receive results,
- whether all or some Learners are sampled prior to receiving results, and
- the intended outcome of activities – for example, whether it would be likely to inform future changes to processes, require reassessment of Learners that have not yet received results, or lead to revocation of certificates that have already been issued

Going beyond the minimum requirements

Our requirements also state that an awarding organisation must take a risk-based approach to Centre Assessment Standards Scrutiny and must put in place arrangements which go beyond our minimum requirements where it considers it necessary to meet any risks that it has identified in relation to a particular Centre, assessment or qualification.

The list below sets out examples of when we will normally expect an awarding organisation to go beyond our minimum requirements.

Factors in relation to the Centre

- (a) Where a Centre has not previously marked assessments for the relevant qualification.
- (b) Where there have been changes to the staff at a Centre responsible for overseeing marking of the relevant assessment by that Centre.
- (c) Where there is a significant change in the profile of the Centre's entries for the relevant qualification, or the number of entries.
- (d) Where the awarding organisation establishes that, in respect of the relevant assessment –
 - (i) any malpractice or maladministration has occurred in relation to a Centre's delivery, marking or issue of results,
 - (ii) the criteria against which Learners' performance is differentiated are not being applied consistently by a Centre in its marking, or
 - (iii) a Centre has issued inaccurate results.

Factors in relation to the qualification

- (e) Where the qualification is substantially different in type or content from any which the awarding organisation has made available before.
- (f) Where the professional standard for a qualification (for example, a licence to practise) has changed.
- (g) Where an awarding organisation's analysis of data and evidence suggests that a particular approach is necessary.

It is for an awarding organisation to consider what form any arrangements which go beyond our minimum requirements should take and how long they should remain in place, depending on the situation.

An awarding organisation may, for example, put in place different arrangements for different Centres, or different assessments or Components within the same qualification.

In all cases an awarding organisation must be satisfied that the Centre is able to deliver, mark and issue results for the assessment in a manner which allows the awarding organisation to comply with its Conditions of Recognition.

Where an awarding organisation considers it necessary to go beyond our minimum requirements for reasons linked to a Centre's performance, it should consider

whether it would be appropriate to make other awarding organisations on whose behalf the Centre delivers qualifications aware of the relevant performance issues.

Notes

1. For these purposes, 'marking' refers not only to assigning a numerical mark to the evidence generated by a Learner in an assessment, but to assigning any type of signifier which serves to differentiate one Learner's performance from another in line with the criteria set under Condition G1.3. Examples can include the use of Pass/Fail, Pass/Merit/Distinction, or A/B/C/D etc. It should be noted that such signifiers may also serve as specified levels of attainment for the purposes of other conditions.

Guidance on Centre Assessment Standards Scrutiny - Moderated assessments

Condition H2.2(a) allows us to specify requirements and guidance in relation to Centre Assessment Standards Scrutiny undertaken by an awarding organisation.

We set out below our guidance for the purposes of Condition H2.2(a) in relation to Moderation. Separate guidance has been issued for forms of Centre Assessment Standards Scrutiny other than Moderation.

Where Moderation is used for only some Centre-marked assessments within a qualification, the remaining Centre-marked assessments must be subject to Centre Assessment Standards Scrutiny that meets our minimum requirements published under Condition H2.2(a).

Compliance with Conditions H2.4 and H2.5

Where Moderation is used for an assessment, that Moderation must meet the requirements set out in Conditions H2.4 and H2.5 and in all cases an awarding organisation must be satisfied that the Centre is able to deliver, mark and issue results for the assessment in a manner which allows the awarding organisation to comply with its Conditions of Recognition.

Use of optional Moderation at different levels

Where an awarding organisation chooses to include Moderation in its arrangements for Centre Assessment Standards Scrutiny it may undertake that Moderation at different levels. For example, it could choose to undertake Moderation for –

- assessments marked by an individual Centre,
- individual assessments within a qualification,
- assessments for particular Component, or
- assessments undertaken by a particular cohort within a qualification.

Sampling

Where Moderation of an assessment is required by Ofqual under Condition H2.3(a)(i), all Centre-marked assessments in each year must be available for sampling as part of that Moderation. For example, in a qualification with three Centre-marked Components where Moderation is required, an awarding organisation could not choose to sample assessments from Component A in year 1, Component

B in year 2 etc. Assessments in all three Components need to be sampled each year.

This is also the case where an awarding organisation chooses to apply Moderation to an entire qualification under Condition H2.3(b), rather than to certain Components or assessments within it. Where Moderation is applied to a qualification as a whole, all Centre-marked assessments across all Components must be liable to sampling in each year.

This is in contrast to the position for forms of Centre Assessment Standards Scrutiny other than Moderation as our requirements for non-Moderation scrutiny state that assessments from each Component do not need to be sampled each year.

Centre Assessment Standards Scrutiny strategy requirements

Condition H2.6(a) requires an awarding organisation to establish and maintain a Centre Assessment Standards Scrutiny strategy in respect of each qualification for which assessments are marked by a Centre.

That strategy must cover all forms of Centre Assessment Standards Scrutiny that the awarding organisation undertakes, including Moderation. This means that, where an assessment is Moderated, that Moderation must still form part of the strategy.

Condition H2.7 requires an awarding organisation to ensure that its Centre Assessment Standards Scrutiny strategy sets out how the awarding organisation intends to secure, on an ongoing basis, compliance with Conditions H2.1 – 2.5 in respect of the assessments for that qualification.

Condition H2.6(b) requires an awarding organisation to comply with any requirements in relation to Centre Assessment Standards Scrutiny strategies published by Ofqual. We set out our requirements for the purposes of Condition H2.6(b) below.

Requirements

A Centre Assessment Standards Scrutiny strategy must provide a comprehensive picture of the steps and approach an awarding organisation will take to secure compliance with Conditions H2.1 – 2.5 in respect of the assessments for the relevant qualification.

An awarding organisation may choose to have a Centre Assessment Standards Scrutiny strategy that covers more than one of its qualifications. However, where it does so, it must address any relevant differences that exist between the qualifications covered. Such differences would include the types of assessments for the relevant qualifications and the types of Centres marking those assessments. For example, an awarding organisation may take a different approach to a qualification in which assessments are intended to be delivered on-demand to meet the needs of users to one which follows a more structured delivery model.

A Centre Assessment Standards Scrutiny strategy must present a logical and coherent narrative that includes clear and concise evidence in relation to the matters set out in these requirements.

An awarding organisation's Centre Assessment Standards Scrutiny strategy may apply to one or more of its qualifications and may be contained in a single document or a number of policies and procedures which, taken together, meet the requirements below.

In particular, it must include reasoning and justification for its approach, including when and how it would vary its approach to address risks and issues that may arise.

We set out below the areas that a Centre Assessment Standards Scrutiny strategy must cover. We have published guidance alongside these requirements, to help an awarding organisation understand what information it may choose to provide in order to meet these requirements.

Section 1: Overall Approach

An awarding organisation must explain its overall approach to Centre Assessment Standards Scrutiny and how its approach (including where it uses Moderation) will ensure the standards and validity of its qualifications are maintained where assessments are marked by Centres.

It must explain why its approach is appropriate for its qualifications in view of any risks that it has identified as arising from Centre marking and how it will ensure that its qualifications are manageable for Centres delivering them. It must explain how it will ensure, through its arrangements with a Centre that it is able to comply with its Conditions of Recognition in respect of assessments for that qualification.

Section 2: Allowing Centres to mark assessments

An awarding organisation must explain its approach to deciding whether to allow a particular Centre to mark assessments on its behalf. It must explain how this approach will ensure that any Centre that marks assessments on its behalf is capable of doing so in a way that will allow the awarding organisation to comply with its Conditions of Recognition.

Section 3: Monitoring

An awarding organisation must explain how it will ensure that its approach to Centre Assessment Standards Scrutiny will meet our minimum requirements. It must explain the monitoring that it will undertake to ensure that its approach is being delivered appropriately. It must explain how it ensures appropriate competence of those involved in its processes, the information it will use to carry out its monitoring, its approach to sampling, how it will provide feedback to Centres and its approach to going beyond our minimum requirements where appropriate.

The awarding organisation must explain its approach to identifying, monitoring and mitigating risks in relation to Centre assessment, including by going beyond Ofqual's minimum requirements where necessary. An awarding organisation must explain how it ensures that its approach to risk in relation to Centre Assessment Standards Scrutiny is based on appropriate evidence.

Section 4: Taking action and making adjustments

An awarding organisation must explain its approach to taking action and making adjustments to Centre marking where it considers this to be appropriate. It must explain how it makes such decisions, and how it will ensure that such decisions are taken consistently and in line with Ofqual's Conditions, requirements and guidance.

Section 5: Ongoing review

An awarding organisation must explain how it will keep its approach under review, to ensure its approach remains fit for purpose, and meets the requirements of Condition H2 on an ongoing basis.

Guidance on Centre Assessment Standards Scrutiny strategies

Condition H2.6(a) requires an awarding organisation to establish and maintain a Centre Assessment Standards Scrutiny strategy in respect of each qualification for which assessments are marked by a Centre.

That strategy must cover all forms of Centre Assessment Standards Scrutiny that the awarding organisation undertakes, including Moderation. This means that, where an assessment is Moderated, that Moderation must still form part of the strategy.

Condition H2.6(c) requires an awarding organisation to have regard to any guidance in relation to Centre Assessment Standards Scrutiny strategies published by Ofqual. We set out our guidance for the purposes of Condition H2.6(c) below.

General guidance on Centre Assessment Standards Scrutiny strategies

As set out in our requirements, an awarding organisation's Centre Assessment Standards Scrutiny strategy can cover one or more of its qualifications and may be contained in one or more documents.

Under Condition H2.1, an awarding organisation must have in place clear and effective arrangements to undertake Centre Assessment Standards Scrutiny.

Under Condition H2.2(a), we set out our minimum requirements in respect of an awarding organisation's approach to Centre Assessment Standards Scrutiny for assessments that are not Moderated. Such controls are the minimum that we consider necessary in order to ensure the maintenance of standards and public confidence in regulated qualifications. Our guidance under Condition H2.2(a) sets out circumstances in which we expect an awarding organisation to consider going beyond our minimum requirements.

The controls that an awarding organisation puts in place in relation to Centre marking will vary based on the specific risks that it has identified in relation to the qualification and the Centres delivering it, and what is necessary to ensure valid qualifications that are manageable for Centres to deliver. Based on these considerations, it may be appropriate for an awarding organisation to go beyond our minimum requirements and impose higher levels of control, such as more frequent activities, higher levels of sampling, and closer monitoring.

An awarding organisation may choose, or be required, to put in place Moderation as a form of Centre Assessment Standards Scrutiny, which will require that all checks take place before results are issued.

We expect an awarding organisation to set out in its Centre Assessment Standards Scrutiny strategy how the following factors have been considered in developing its arrangements for Centre Assessment Standards Scrutiny –

- The qualification – An awarding organisation may take a different approach for a new qualification for which the standard is potentially less well-established or understood to that of an established qualification.
- Nature of the assessments – An awarding organisation may be able to undertake forms of Centre Assessment Standards Scrutiny with higher levels of control for some assessments within a qualification rather than others. This could depend, for example, on the nature of the evidence generated by Learners.
- The Centre – An awarding organisation may take a different approach to new Centres, or those it considers high-risk (for example, due to evidence of qualifications not being delivered in line with the awarding organisation's requirements) to those it considers to be a lower risk.
- Experience of an awarding organisation – A new awarding organisation, or an awarding organisation offering a qualification in a new sector may consider that closer Centre controls are necessary whilst it is establishing its systems and processes.
- How the qualification is intended to be delivered – An awarding organisation may take a different approach to a qualification in which assessments are intended to be delivered on-demand to meet the needs of Users to one which follows a more structured delivery model.

Detailed guidance on Centre Assessment Standards Scrutiny strategies

We set out below detailed guidance on the specific information and evidence an awarding organisation should include in its Centre Assessment Standards Scrutiny strategy to meet our requirements. The amount of information and evidence that should be included may vary across the areas identified, depending on the approach adopted and the relevant aspects of the assessments covered as well as the risks and pressures inherent in their form and use (i.e. in licence to practise qualifications).

This guidance is not intended to provide a template specifying the form that a Centre Assessment Standards Scrutiny strategy must take, since the optimal structure and content of the strategy will depend on the approach that is being taken by the awarding organisation. Although the form in which the information is presented may vary from strategy to strategy, we expect all of the areas in our requirements and the guidance below to be covered in each strategy.

Section 1: Overall Approach

An awarding organisation should explain –

- why it considers marking by a Centre appropriate for particular assessments within a particular qualification or type of qualification,
- the appropriateness of the approach based on the nature of the evidence produced by Learners in the relevant assessment,
- why its approach is appropriate to ensure valid and manageable qualifications, based on the risks it has identified in relation to the qualification and the Centres delivering it
- how its approach will ensure that the results it issues in reliance on a Centre's marking are accurate and that standards for the relevant qualification are maintained,

- how it will ensure through its arrangements with a Centre that it is able to comply with the Conditions.

Section 2: Allowing Centres to mark assessments

An awarding organisation should explain –

- how it takes a decision to approve a Centre to deliver and mark assessments on its behalf and how it decides whether to approve a Centre to make assessment judgements and issue results on its behalf,
- the level of training and guidance it provides to Centres delivering and marking its assessments.

Section 3: Monitoring

An awarding organisation should explain –

- the justification for its approach to Centre Assessment Standards Scrutiny, including how that approach meets our minimum requirements,
- how it selects persons to undertake Centre Assessment Standards Scrutiny,
- the training it provides to persons carrying out Centre Assessment Standards Scrutiny and any other means by which it ensures such persons are sufficiently competent to carry out such tasks,
- what information the awarding organisation will require the Centre to retain in order to support its Centre Assessment Standards Scrutiny,
- how it will ensure that Centres retain any data (including evidence generated by Learners and marked by Centres) that the awarding organisation considers necessary to allow it to undertake Centre Assessment Standards Scrutiny effectively,
- the extent of its ongoing monitoring of a Centre once it starts delivering and marking assessments, including the frequency of visits and what the awarding organisation monitors, for example, Centre processes and procedures and/or Centre capability, as well as marking,
- how it will provide feedback to Centres and monitor Centres' performance over time,
- the level of ongoing training and guidance it provides to Centres delivering and marking its assessments.
- the sampling approach it uses to ensure that samples are appropriate;
- how it will consider selecting examples of marking by the Centre which go beyond those selected by the Centre itself,
- its approach to going beyond our minimum requirements and how it will have regard to the factors set out in Ofqual's guidance in this regard.

Risks

An awarding organisation should explain how its approach to Centre Assessment Standards Scrutiny will allow it to –

- identify and monitor all relevant conflicts of interest, and any scenario that could foreseeably lead to such a conflict in the future,
- take all reasonable steps to ensure that no such conflict has an Adverse Effect,
- take all reasonable steps to prevent the occurrence of any incident that could have an Adverse Effect,

- take all reasonable steps to prevent the occurrence of any malpractice or maladministration in relation to the delivery or marking of assessments by a Centre,
- enter into arrangements with a Centre on terms which allow the awarding organisation to comply with the Conditions as a whole, and monitor, and where necessary take action, to ensure the Centre does not put the awarding organisation's compliance at risk,
- ensure that assessments for the relevant qualification remain fit for purpose upon delivery,
- ensure that the criteria against which Learners' performance is differentiated are being accurately and consistently applied by Assessors,
- ensure any results it issues are accurate and fully reflect the evidence produced by the Learner and the Learner's attainment when judged against the standard set by the awarding organisation.

An awarding organisation must explain how it has ensured that its approach to risk in relation to Centre Assessment Standards Scrutiny is based on appropriate evidence.

Section 4: Taking action and making adjustments

An awarding organisation should explain –

- how it identifies and resolves issues such as malpractice relating to Centres' delivery and marking of an assessment,
- how it will decide on the actions that it will take where it identifies an assessment is not being delivered or marked in line with its requirements,
- its approach to making adjustments to a Centre's results

Section 5: Ongoing review

An awarding organisation should explain how it keeps its processes under review to ensure they remain fit for purpose and are improved as necessary.

Publication of Centre Assessment Standards Scrutiny Strategy

We do not require publication of an awarding organisation's entire Centre Assessment Standards Scrutiny strategy. However, some elements of it may need to be included in the specification for a qualification published under Condition E3.

Regardless of whether any elements of the Centre Assessment Standards Scrutiny strategy are replicated in the specification, an awarding organisation is required, under the minimum requirements published under Condition H2.2(a), to provide effective guidance to Centres in relation to the minimum expectations that they must meet. Outside of our requirements, an awarding organisation may publish its Centre Assessment Standards Scrutiny strategy, or parts of it, if it wishes to. Where it does so, it must ensure that any such publication does not breach its Conditions of Recognition.

Guidance on making changes to incorrect results

Condition H6.1(d) requires an awarding organisation to issue results which accurately and completely reflect the marking of assessments (including the

outcome of any Centre Assessment Standards Scrutiny and other quality assurance process).

Condition H6.3(a) requires an awarding organisation to correct any error in the results it has issued where this is discovered through an appeals process. In all other cases, where an awarding organisation discovers that any result it has issued is incorrect it must, under Condition H6.3(b) consider whether to correct it and have regard to any guidance published by Ofqual in that respect.

We set out our guidance for the purposes of Condition H6.3(b) below.

Introduction

We expect an awarding organisation to issue correct results to Learners. But where an awarding organisation discovers that, despite its controls, it has issued an incorrect result, it must have regard to this guidance when deciding what to do.

An incorrect result is one that does not accurately reflect a Learner's performance in his/her assessment. It could be higher or lower than the level of attainment which the Learner demonstrated. An awarding organisation may discover that it has issued an incorrect result in different ways, including:

- through the application of its own quality assurance processes;
- through its investigations into malpractice or maladministration; or
- where a review of marking or an appeals process reveals an issue which is relevant to other Learners' assessments.

Where an awarding organisation discovers an error through an appeals process, it must correct the result. In all other cases where an incorrect result is discovered (and regardless of whether it is higher or lower than the level of attainment demonstrated by the Learner), an awarding organisation must decide what action to take, and whether or not to correct the result.

This guidance identifies a number of Conditions that place obligations on awarding organisations which are relevant to this issue. It explains how an awarding organisation should decide what action to take and some of the factors it should consider. The importance of these factors will vary between cases, but awarding organisations should adopt a consistent approach to determine which are relevant and how to balance them.

In particular, this guidance focuses on an awarding organisation's decision whether or not to correct an incorrect result in circumstances other than following an appeal. It is for the awarding organisation to take this decision in each case, ensuring that it meets the requirements of the Conditions and has regard to this guidance. Having taken this decision, the awarding organisation should always consider whether it should take any other action to comply with the requirements of the Conditions.

What requirements must an awarding organisation meet?

Awarding organisations must comply with all of the Conditions which apply to the qualifications they offer. The Conditions below are likely to be particularly relevant to the issuing of results and to the action an awarding organisation should take if it finds it has issued an incorrect result.

Condition A6.1 requires an awarding organisation to take all reasonable steps to identify the risk of any incidents which could have an Adverse Effect. Since the issuing of an incorrect result could (in many cases) have an Adverse Effect, an awarding organisation should actively consider any risks which might lead to this happening.

Condition A6.2 requires that where such a risk is identified, the awarding organisation takes all reasonable steps to prevent the incident from occurring or to reduce the risk of it occurring. The awarding organisation must also prevent, or if this is not possible mitigate, any Adverse Effect that the incident could have were it to occur.

Condition H5.1 requires an awarding organisation to ensure that the result of each assessment taken by a Learner reflects the level of attainment demonstrated by that Learner.

Condition H6.1(d) requires an awarding organisation to issue results which accurately and completely reflect the marking of assessments (including any Centre Assessment Standards Scrutiny and other quality assurance process). Where an awarding organisation issues an incorrect result, it will have failed to comply with one or both of Conditions H5.1 and H6.1(d). There are a number of further requirements that could be relevant if an awarding organisation issues an incorrect result.

Condition A7.1 requires that where any incident occurs which could have an Adverse Effect, an awarding organisation must promptly take all reasonable steps to prevent the Adverse Effect or to mitigate it as far as possible and correct it. In doing so, it must prioritise the provision of assessments which accurately differentiate between Learners on the basis of the level of attainment they have demonstrated and the accurate and timely award of qualifications.

Condition A8.2 requires that where an awarding organisation suspects malpractice or maladministration and has reasonable grounds for doing so, it must promptly take all reasonable steps to prevent any Adverse Effect which may occur. Where an Adverse Effect does occur it must mitigate it and correct it as far as possible. This obligation may be relevant where an incorrect result has been issued as a result of malpractice or maladministration.

Condition I1.4 (or, where Condition I1 does not apply to a qualification, the relevant Qualification Level Condition) requires that if an awarding organisation discovers a failure in its assessment process through any Review Arrangements or appeals process, it must take all reasonable steps to identify any other affected Learners, correct or mitigate as far as possible the effect of the failure, and ensure that the failure does not recur. Awarding organisations must ensure that if specific Qualification Level Conditions are in place for Review Arrangements or appeals, such as those for reviews of Moderation, they are adhered to before considering the following guidance.

What should an awarding organisation do when it discovers it has issued an incorrect result?

Where an awarding organisation discovers that it has issued an incorrect result, we expect it to:

- understand what has happened. It should make sure it gathers adequate information on which to base any decision about what to do next and whether to correct the result;
- determine whether the issue of the incorrect result has caused any Adverse Effect or whether there is the potential for any Adverse Effect to occur;
- notify Ofqual, where any Adverse Effect has occurred or could occur (in accordance with Condition B3.1);
- determine what action to take, including whether or not to correct the result and whether any other action should be taken;
- keep a record of the decision it makes in respect of: whether any Adverse Effect has occurred or is likely to occur, whether or not to correct the result and on any other action it takes to prevent, mitigate or correct any Adverse Effect. It should be able to explain, on a case-by-case basis, what action it has taken and why.

What should an awarding organisation consider when deciding what action to take?

Where an awarding organisation discovers that it has issued an incorrect result, it must take all reasonable steps to prevent any Adverse Effect which could be caused or, where this is not possible, to mitigate and correct any Adverse Effect. An Adverse Effect is most likely to be caused where the issuing of the incorrect result:

- prejudices the Learner who has been issued with the result or prejudices other Learners;
- adversely affects the standard of the qualification; or
- adversely affects public confidence in regulated qualifications.

In some instances, issuing an incorrect result could cause more than one Adverse Effect and these could happen at different times.

Where the issuing of the incorrect result has had or could have an Adverse Effect, the default position is that the awarding organisation should correct the result. In most cases this will either prevent the Adverse Effect from occurring or otherwise mitigate or correct it.

However, we recognise that correcting the result may have a negative impact such that, balancing this impact against the Adverse Effect(s) involved, it would not be a reasonable step for the awarding organisation to correct the result.

Even where the awarding organisation does not consider the issuing of the incorrect result has had or could have an Adverse Effect, it will have breached a Condition. Correcting the result will help remedy that breach. Again, we recognise that in some cases the negative impact of correcting the result may be such that this would not be a reasonable course of action for the awarding organisation to take.

We expect an awarding organisation to consider all relevant factors in order to:

- identify any Adverse Effects caused (or potentially caused) by issuing the incorrect result; and
- decide what action it would be reasonable to take, balancing any Adverse Effect against any negative impact which may be caused by correcting the result.

The list below sets out factors which we expect an awarding organisation to consider

when deciding on a reasonable course of action (alongside any other relevant factors).

- Impact on the Learner who has been issued with an incorrect result - The awarding organisation should consider whether allowing an incorrect result to stand or correcting the result could prejudice the Learner. For example, prejudice may be caused if the result is corrected where the original result has already been used to make decisions, such as whether to re-take a qualification, enrol in further or higher education, or enter employment. Conversely, in some situations allowing a Learner to rely on a result which he/she has not actually achieved may prejudice that Learner.
- Impact on other Learners - The awarding organisation should consider whether allowing an incorrect result to stand could prejudice other Learners. For example, Learner A could miss out on a progression opportunity to Learner B because Learner B has incorrectly been given a higher result than his/her performance merited.
- Public confidence - The awarding organisation should consider the impact on public confidence in regulated qualifications of it issuing an incorrect result and of the action it takes in response.
- Standards - The awarding organisation should consider the impact on the standard of the qualification if it does not correct the error.
- Number of Learners affected - The impacts on other Learners, on standards and on public confidence are likely to be greater if many Learners are affected.
- Reliance on the incorrect result by third parties - Where third parties have relied on, or are likely to rely on, the incorrect result, the awarding organisation should consider whether that increases the possibility of an Adverse Effect. For example, if a qualification is a licence to practise, the awarding organisation should consider whether allowing a Learner who may not have demonstrated the level of competence indicated by the incorrect result to keep that result could have an Adverse Effect.
- Timing - The length of time since the result was issued and any indication given by the awarding organisation that the result may or may not be final.
- Malpractice - Whether the Learner's own actions (including malpractice) contributed to the incorrect result being issued.

The extent to which each factor is relevant, and whether there are any others that should be considered, will vary. This could depend, for example, on the purpose of the qualification and how it is used by the Learner or other Users of qualifications. Consideration of all the factors may not all point towards one action.

An awarding organisation should determine which factors are relevant and give appropriate weight to these in each case when deciding on its course of action.

Incorrect results discovered through Centre Assessment Standards Scrutiny other than Moderation

As Moderation takes place before results are issued, any errors discovered through Moderation must be corrected prior to the issue of results in compliance with Condition H2.5.

Where an awarding organisation uses a form of Centre Assessment Standards Scrutiny other than Moderation, it may issue results and certificates on the basis of a

Centre's assessment judgements without any prior check on the standard of marking for each particular group Learners.

This means that where Moderation is not used incorrect results may not be discovered until after those results have been issued by which point Learners, and other Users of qualifications, may have placed reliance on the incorrect results in the intervening period. As such, awarding organisations will need to consider additional factors to those set out above. This section therefore provides guidance which awarding organisations must consider in addition to the guidance above where an error is discovered through Centre Assessment Standards Scrutiny. In deciding whether or not to correct incorrect results identified through Centre Assessment Standards Scrutiny other than Moderation, we expect an awarding organisation to consider the following factors, in addition to the general guidance in relation to all qualifications set out in the preceding sections:

- The need to prioritise the maintenance of standards, which will normally lead to correction of errors.
- The passage of time since results were issued.
- Whether a qualification has been used to secure employment.
- Any health and safety implications associated with the qualification.
- Whether the qualification is a licence to practise.
- The availability of opportunities to retake the assessment.
- Any other Adverse Effect that might be caused by a decision to correct, or not to correct, a result.

In terms of the weight given to these factors, an awarding organisation should prioritise the correction of results in situations where there are health and safety implications associated with the qualification such that it may be unsafe for a person to be undertaking a particular activity where he or she is not competent to do so. An awarding organisation should also be alive to other contexts that give rise to significant risks, such as qualifications relating to children or the care of vulnerable people.

Where an awarding organisation corrects a Learner's result in circumstances that could lead to the Learner losing employment that has been gained in reliance on the incorrect result, it should consider what further action might be appropriate such as, for example, promptly providing an opportunity for the Learner to take the relevant assessment again without charge.

What should an awarding organisation do after deciding what action to take?

In all cases, after deciding what action to take, an awarding organisation should take all reasonable steps to communicate any change in result to any affected Learners and, where appropriate, reissue results and/or certificates.

Condition I4.2(a) requires awarding organisations to take all reasonable steps to issue a certificate and any replacement certificate. Where an awarding organisation has decided to correct the result, it should ensure it does this.

An awarding organisation should consider any further actions it needs to take. In accordance with Condition B3.5, the awarding organisation should notify Ofqual of

any steps that it has taken or intends to take to prevent an Adverse Effect, or to correct or mitigate any Adverse Effect that occurs.

In accordance with Condition A6, an awarding organisation should consider whether or not its contingency plan should be updated.

Condition D3.3 requires that where an event relating to an awarding organisation has had an Adverse Effect, it must review and revise where necessary its approach to the development, delivery and award of qualifications to ensure it remains appropriate.

In particular, where the incorrect result relates to an assessment marked by a Centre, an awarding organisation should review its arrangements for Centre Assessment Standards Scrutiny in relation to the Centre in question or, where wider risks are discovered, the relevant qualification in order to ensure that those arrangements remain appropriate.

NOT YET IN FORCE

Section I - Appeals and certificates

Rules about appeals, complaints and the content, design and issuing of certificates

Condition I1 - Appeals process

Condition I1 does not apply to:

- GCSEs (graded 9 to 1)
- GCSEs (graded A* to G)
- reformed AS and A levels
- legacy (pre-reform) AS and A levels
- Project qualifications

I1.1 An awarding organisation must establish, maintain and comply with an appeals process in relation to all qualifications which it makes available, which must provide for the appeal of –

- (a) the results of assessments,
- (b) decisions regarding Reasonable Adjustments and Special Consideration, and
- (c) decisions relating to any action to be taken against a Learner or a Centre following an investigation into malpractice or maladministration.

I1.2 For the purposes of Condition I1.1, an awarding organisation's appeals process must provide for –

- (a) the effective appeal of results on the basis that the awarding organisation did not apply procedures consistently or that procedures were not followed properly and fairly,
- (b) all appeal decisions to be taken by individuals who have no personal interest in the decision being appealed,
- (c) appeal decisions to be only taken by persons who have appropriate competence,
- (d) the final decision in respect of the outcome of an appeal to involve at least one decision maker who is not an employee of the awarding organisation, an Assessor working for it, or otherwise connected to it, and
- (e) timelines for the outcome of appeals.

I1.3 An awarding organisation must publish information on its appeals process to enable the results of assessments to be appealed.

I1.4 Where the application of an appeals process in the case of a Learner leads an awarding organisation to discover a failure in its assessment process, it must take all reasonable steps to –

- (a) identify any other Learner who has been affected by the failure,
- (b) correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, and
- (c) ensure that the failure does not recur in the future.

There is currently no guidance on complying with these Conditions

Condition I2 - Compliance with Ofqual's appeals and complaints process

I2.1 An awarding organisation must comply with the requirements of any appeals and complaints process established by Ofqual in the form in which it may be published by Ofqual and revised from time to time.

I2.2 An awarding organisation must give due regard to the outcome of any such appeals or complaints process in relation to a qualification which it makes available.

I2.3 Where the application of any such appeals or complaints process in the case of a Learner leads an awarding organisation to discover a failure in its assessment process, it must take all reasonable steps to –

- (a) identify any other Learner who has been affected by that failure,
- (b) correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, and
- (c) ensure that the failure does not recur in the future.

I2.4 Where Ofqual notifies an awarding organisation of failures that have been discovered in the assessment process of another awarding organisation, the awarding organisation must review whether or not a similar failure could affect its own assessment process.

I2.5 Where, following a review, the awarding organisation identifies such a potential failure, it must take the same action as if a failure has been discovered in relation to it by virtue of the application of Ofqual's appeals and complaints process.

There is currently no guidance on complying with these Conditions

Condition I3 - The design and content of certificates

Condition I3 does not apply to Ofqual-regulated apprenticeship end-point assessments

The design of certificates

I3.1 An awarding organisation must ensure that the design of each certificate in relation to a qualification which it makes available complies with the Certificate Requirements which may be published by Ofqual and revised from time to time.

The content of certificates

I3.2 An awarding organisation must ensure that –

- (a) all certificates which it issues clearly and uniquely identify both the Learner and the certificate itself,
- (b) all certificates which it issues clearly display the title of the qualification as it appears on the Register (and any Endorsement known after the qualification)

is submitted to the Register) and do not include any other title for the qualification.

I3.3 Where an awarding organisation issues any replacement certificate, it must ensure that the certificate is clearly identifiable as being a replacement.

I3.4 Where an awarding organisation issues a certificate in relation to a qualification and –

- (a) the assessment of the qualification was in a language other than English, and
- (b) the objective of the qualification was not for the Learner to gain skills in, or knowledge or understanding of that language,

the awarding organisation must ensure that the language of the assessment is clearly identifiable on the certificate.

There is currently no guidance on complying with these Conditions

Condition I4 - Issuing certificates and replacement certificates

Condition I4 does not apply to Ofqual-regulated apprenticeship end-point assessments

I4.1 An awarding organisation must, in relation to qualifications which it makes available –

- (a) publish the expected dates or timescales for the issue of certificates,
- (b) ensure that the issue of certificates is timely,
- (c) issue only certificates which are clear and readily capable of being understood by Users of qualifications,
- (d) issue only certificates which are accurate and complete and which reflect accurate and complete results,
- (e) maintain a record of all certificates and replacement certificates which it issues, and
- (f) not include a qualification which is not a regulated qualification on a certificate which contains regulated qualifications.

I4.2 An awarding organisation must take all reasonable steps, including having procedures in place, to ensure that it –

- (a) issues a certificate and any replacement certificate to any Learner who has a valid entitlement to that certificate or replacement certificate,
- (b) does not issue any certificate to a Learner who does not have a valid entitlement to that certificate,
- (c) revokes any certificate if the result on the certificate is false because of malpractice, maladministration, or because the result has been corrected under Condition H6.3, and

(d) meets any date or timescale published by it in respect of the issue of certificates and replacement certificates.

There is currently no guidance on complying with these Conditions

Certificate Requirements

This section sets out our Certificate Requirements for the purposes of General Condition I3.1. An awarding organisation must ensure that the design of each certificate in relation to a regulated qualification or credit award which it makes available complies with these rules. These rules do not apply to unit certificates or any other certificates which awarding organisations may issue.

An awarding organisation must ensure that the design and production of each certificate it issues in relation to a regulated qualification or credit award which it makes available includes the following requirements clearly and distinctly expressed on the front of the certificate:

1. the full name of the awarding organisation as recognised by Ofqual
2. the full name of the Learner as registered
3. for qualification certificates the Qualification Number or for credit certificates Unit Reference Number/s as assigned on the Register
4. the level of attainment of the Learner
5. the level of the qualification or credit
6. the date (day/month/year) the awarding organisation confirms the Learner's attainment by issue of a certificate
7. Ofqual's Logo in line with Logo Requirements which may be published by Ofqual and updated from time to time
8. for credit certificates a statement that indicates that the learner has been awarded credit.

Use of other logos

An awarding organisation may include other relevant logos, including those of other regulators where appropriate.

You can find more information in our guidance (published jointly with CCEA Regulation and Qualifications Wales) on using regulators' logos on certificates.

Section J - Interpretation and definitions

How to interpret our rules, including defined terms

Conditions J1.1-J1.7 - Interpretation

J1.1 In these conditions, the following rules of interpretation shall apply.

J1.2 Unless the context suggests otherwise, in these conditions –

- (a) words in the masculine gender are to be read as including the feminine gender (and vice versa),
- (b) words in the singular are to be read as including the plural (and vice versa),
- (c) references to 'it' are to be read as including references to 'he' and 'she' (and vice versa),
- (d) the words 'including' and 'in particular' indicate a list of examples and should not be read as limiting the scope of the words that occur before them
- (e) references to 'person' include any body of persons, whether corporate or unincorporate,
- (f) 'awarding organisation' refers to an organisation which is recognised in accordance with section 132 of the Act,
- (g) 'relevant qualification' refers to any qualification for which the relevant awarding organisation is recognised or which falls within a description of qualifications for which it is recognised,
- (h) references to providing something 'in writing' are to include providing it by hand, post, fax, electronic mail or through a submission to the Portal,
- (i) a 'qualification' means a regulated qualification (and includes any units of that qualification),
- (j) references to 'this condition' are to be read as references to the condition as a whole (such as Condition B3),
- (k) references to an Act of Parliament include any secondary legislation made under that Act of Parliament, and
- (l) words have the same meaning as in Part 7 of the Act.

J1.3 If there is an inconsistency between a provision in these conditions, and a provision contained in any document which is referenced in these conditions, these conditions shall prevail and the other document shall have no force and effect to the extent of that inconsistency.

J1.4 Titles and headings in these conditions are for information only and are not to be used for the purposes of interpretation.

J1.5 A person is connected to an awarding organisation if that person undertakes or is involved in any activity undertaken by the awarding organisation.

J1.6 Completion of a qualification by a Learner shall include the completion of any appeals process.

J1.7 Where an awarding organisation is required to publish a document or information, that document or information must be published in a way which is –

- (a) clear to its intended audience,
- (b) accurate, and
- (c) reasonably accessible (including by way of publication on the awarding organisation's website).

Condition J1.8 - Definitions

Definitions

J1.8 In these conditions, the following words shall have the meaning given to them below (and cognate expressions should be construed accordingly) –

the Act

The Apprenticeships, Skills, Children and Learning Act 2009

Adverse Effect

An act, omission, event, incident, or circumstance has an Adverse Effect if it –

- (a) gives rise to prejudice to Learners or potential Learners, or
- (b) adversely affects –
 - (i) the ability of the awarding organisation to undertake the development, delivery or award of qualifications in a way that complies with its Conditions of Recognition,
 - (ii) the standards of qualifications which the awarding organisation makes available or proposes to make available, or
 - (iii) public confidence in qualifications.

Assessor

A person who undertakes marking or the review of marking. This involves using a particular set of criteria to make judgements as to the level of attainment a Learner has demonstrated in an assessment.

Associated Learner Fees

Any fee which is –

- (a) subject to negotiation, payable to an awarding organisation by a purchaser for an optional service that is directly related to the delivery and award of a regulated qualification to an individual Learner, and
- (b) not included in the Standard Qualification Fee.

Authentication

A process under which evidence generated by a Learner in an assessment is confirmed as having been generated by that Learner (or identified and confirmed as being that Learner's contribution to group work) and as being generated under the required conditions.

Centre

An organisation undertaking the delivery of an assessment (and potentially other activities) to Learners on behalf of an awarding organisation. Centres are typically educational institutions, training providers, or employers.

Centre Assessment Standards Scrutiny

The process through which an awarding organisation –

- (a) periodically scrutinises the marking of assessments by a Centre to ensure that it has not deviated from required standards,
- (b) considers whether it is appropriate to correct any mark and, if appropriate, corrects that mark (including where changes are required under Condition H2.5(b)),
- (c) in line with Condition H6.3(b), considers whether it is appropriate to correct any incorrect result and, if appropriate, corrects that result, and
- (d) takes action to prevent such deviation from recurring.

Characteristic

Age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation, as protected under Equalities Law.

Certificate Requirements

One or more documents of that title or with a title containing those words.

Change of Control

A change of control takes place in relation to an awarding organisation where –

- (a) a person obtains control of the awarding organisation who did not, immediately prior to doing so, have control of it, or
- (b) the awarding organisation merges with any person.

Where the awarding organisation is a company, sub-sections (2), (3) and (4) of section 450 of the Corporation Tax Act 2010 shall apply for the purpose of determining whether a person has or had control of the awarding organisation.

Comparability

Generating assessment outcomes that are comparable in standards between assessments within a qualification, between similar qualifications, with other awarding organisations, and over time. Where an assessment has equivalent forms then it is important to ensure comparability of outcomes. There are two reasons for this –

- (a) To reach fair comparisons about the attainment of Learners: It is impossible to produce different forms with exactly the same content and statistical specifications (such as the level of difficulty or demand on the Learner). Therefore, a requirement to ensure comparability of outcomes makes sure the level of difficulty or demand of the test forms is taken into account when setting standards so that Learners taking the different forms can be compared fairly, and

(b) To ensure that the outcomes can be used as a measure of standards: Outcomes from different forms of the same test must be comparable if they are to be used to measure standards over time. Both expert judgements and statistical procedures such as test equating can be used to ensure comparability of outcomes from different forms of the same test. It is, however, important to ensure that assessments are not so similar that they become predictable, as this would be a threat to Validity.

Competition Law

The Competition Act 1998, or any legislation in a jurisdiction other than England which has an equivalent purpose and effect.

Component

A discrete part of a qualification which –

- (a) focuses on specific areas of the knowledge, skills and understanding assessed for the qualification, and
- (b) has a specific set of criteria against which Learners' performance will be differentiated.

Conditions of Recognition

All conditions to which an awarding organisation's recognition is subject (including other conditions imposed under section 132(3)(d) of the Act).

Conflict of Interest

A conflict of interest exists in relation to an awarding organisation 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 a way that complies with its Conditions of Recognition,
- (b) a person who is connected to the development, delivery or award of qualifications by the awarding organisation 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 a way that complies with the awarding organisation's Conditions of Recognition, or
- (c) an informed and reasonable observer would conclude that either of these situations was the case.

Data Protection Law

The following as they apply in England, and any legislation in a jurisdiction other than England which has an equivalent purpose and effect –

- (a) Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data.
- (b) Any legislation in force from time to time in the United Kingdom relating to privacy and/or the processing of personal data, including but not limited to the Data Protection Act 2018 and the Privacy and Electronic Communications (EC Directive) Regulations 2003.

(c) Any statutory codes of practice issued by the Information Commissioner in relation to such legislation.

Endorsement

A reference in the title of a qualification acknowledging that the Learner is focusing or has focused on one or more particular areas of knowledge, skills and understanding which form part of the qualification (as encompassed in the qualification title). (For instance, in GCSE Art and Design – Textile Design, Textile Design is an Endorsement of GCSE Art and Design.)

Equalities Law

The Equality Act 2010, any Act that was a statutory predecessor to that Act, or any legislation in a jurisdiction other than England which has an equivalent purpose and effect.

Governing Body

Where the awarding organisation is a limited company, the board of directors of the awarding organisation. Where the awarding organisation is not a limited company, a person or group of people having the equivalent status within the organisational structure of the awarding organisation.

Group

Where an awarding organisation is a limited company, a group made up of any company which is a holding company of the awarding organisation, a subsidiary of the awarding organisation or a subsidiary of a holding company of the awarding organisation. Where an awarding organisation is not a limited company, a person or group of people having the equivalent status.

Guided Learning

The activity of a Learner in being taught or instructed by – or otherwise participating in education or training under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

For these purposes the activity of ‘participating in education or training’ shall be treated as including the activity of being assessed if the assessment takes place under the Immediate Guidance or Supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training.

Immediate Guidance or Supervision

The guidance or supervision provided to a Learner by a lecturer, supervisor, tutor or other appropriate provider of education or training –

- (a) with the simultaneous physical presence of the Learner and that person, or
- (b) remotely by means of simultaneous electronic communication.

For these purposes, the activity of Invigilation is to be regarded as a form of guidance or supervision.

Invigilation

The supervision by an appropriate person of Learners who are participating in the activity of being assessed for a qualification, where such supervision involves neither any teaching nor the giving of any guidance or direction beyond that which is necessary to convey instructions for the carrying out of the assessment or otherwise for the effective management of the assessment activity.

Learner

A person who is registered to take a qualification and to be assessed as part of that qualification.

Level of Demand

The degree of challenge that an assessment presents for the Learner.

Logo Requirements

One or more documents of that title or with a title containing those words.

Manageability

Manageability relates to the feasibility of carrying out particular assessment processes. A Manageable assessment process is one which places reasonable demands on Centres and Learners. The evaluation of the reasonableness of the demands will be based on the scale of the assessment process on the participants, balanced by the usefulness of the outcomes. As with the other requirements (Validity, Reliability, Comparability and Minimising Bias), judgements about Manageability must be balanced with considerations around the other requirements.

Mandatory Centre Fees

Any mandatory fee which –

- (a) subject to negotiation, an awarding organisation requires a Centre to pay to it in order to undertake the delivery of an assessment to Learners (or any other activities) on behalf of the awarding organisation, irrespective of the number of Learners taking the qualification, and
- (b) is not included in the Standard Qualification Fee.

Minimising Bias

Minimising Bias is about ensuring that an assessment does not produce unreasonably adverse outcomes for Learners who share a common attribute. The Minimisation of Bias is related to fairness to all Learners and is also closely related to statutory equality duties.

Moderation

A particular form of Centre Assessment Standards Scrutiny through which the marking of assessments by Centres is monitored to make sure it meets required standards and through which adjustments to a Centre's marking are made, where required, to ensure that results are based on the required standard. Moderation takes place before final results are issued under Condition H6.1.

Ofqual's Logo

Any logo, design or style in which Ofqual holds intellectual property rights.

Package Fee

Where an awarding organisation only makes a qualification available as part of a package together with other products and services, any notional fee which is -

- (a) subject to negotiation, payable to an awarding organisation by a purchaser of the package in respect of each of those other products and services, and
- (b) not included in the Standard Qualification Fee.

Portal

The information technology system provided by Ofqual to allow awarding organisations to exchange information securely with Ofqual and CCEA Regulation, as it may be varied and replaced from time to time.

Procure

To cause or bring about an outcome by care and effort.

Reasonable Adjustment

An adjustment made to an assessment for a qualification so as to enable a disabled Learner to demonstrate his or her knowledge, skills and understanding to the levels of attainment required by the specification for that qualification.

Recognition of Prior Learning

The –

- (a) identification by an awarding organisation of any learning undertaken, and/or attainment, by a Learner –
 - (i) prior to that Learner taking a qualification which the awarding organisation makes available or proposes to make available, and
 - (ii) which is relevant to the knowledge, skills and understanding which will be assessed as part of that qualification, and
- (b) recognition by an awarding organisation of that learning and/or attainment through amendment to the requirements which a Learner must have satisfied before the Learner will be assessed or that qualification will be awarded.

Register

The register published and maintained by Ofqual in accordance with section 148 of the Act.

Regulatory Document

A regulatory document, or part of a regulatory document, which features in a document entitled the 'Regulatory Document List', which may be published by Ofqual and may be varied and replaced by Ofqual from time to time.

Reliability

Reliability is about consistency and so concerns the extent to which the various stages in the assessment process generate outcomes which would be replicated were the assessment repeated. Reliability is a necessary condition of Validity, as it is not possible to demonstrate the Validity of an assessment process which is not Reliable. The Reliability of an assessment is affected by a range of factors such as the sampling of assessment tasks and inconsistency in marking by human Assessors.

Responsible Officer

An individual appointed to act as an awarding organisation's authoritative point of contact for Ofqual.

Senior Officer

A director or senior executive officer of the awarding organisation or, where the awarding organisation is not a limited company, a person holding a position of equivalent status within the organisational structure of the awarding organisation.

Special Consideration

Consideration to be given to a Learner who has temporarily experienced an illness or injury, or some other event outside of his or her control, which has, or is reasonably likely to have, materially affected the Learner's ability to –

- (a) take an assessment, or
- (b) demonstrate his or her level of attainment in an assessment.

Standard Qualification Fee

A fee which, subject to negotiation, is payable to an awarding organisation by a purchaser that represents the sum of all mandatory fees that must be paid in respect of an individual Learner for that Learner to have the opportunity to obtain one of the awarding organisation's qualifications, including a certificate in relation to it.

This would exclude any Learner pre-requisites clearly set out in the qualification specification, for example prior learning or membership of a professional body.

Where an awarding organisation only makes a qualification available as part of a package, together with other products and services, the Standard Qualification Fee will be the notional fee payable in respect of the qualification only.

Stimulus Materials

Materials provided to the Learner before or at the time of the assessment which facilitate the Learner's demonstration of his or her knowledge, skills and understanding. Tasks in an assessment may relate directly to the materials and a Learner may make direct reference to the materials in completing the assessment. Such materials may include, for example, charts, diagrams, pictures, quotations or machinery.

Teacher

A person who prepares any Learner, or any person likely to become a Learner, for assessment for a qualification and who does so –

- (a) as a lecturer, supervisor, tutor or other appropriate provider of education or training, or
- (b) in circumstances in which that preparation takes place primarily at home.

Total Qualification Time

The number of notional hours which represents an estimate of the total amount of time that could reasonably be expected to be required, in order for a Learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

Total Qualification Time is comprised of the following two elements –

- (a) the number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
- (b) an estimate of the number of hours a Learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but not under the Immediate Guidance or Supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

Total Qualification Time Criteria (or ‘TQT Criteria’)

The TQT Criteria are criteria that are set and published by Ofqual for –

- (a) the purposes set out at section 146(1)(b) of the Act, and
- (b) the purpose of determining the number of hours of Total Qualification Time that should be assigned to a qualification by an awarding organisation.

The TQT Criteria may be set out in more than one document.

Users of qualifications

Persons who have a legitimate interest in the qualification or type of qualification made available by the awarding organisation, which may include –

- (a) Learners and Learners’ representatives,
- (b) Centres,
- (c) Teachers,
- (d) employers and employers’ representatives,
- (e) further and higher education establishments,
- (f) schools,
- (g) government departments and agencies, and
- (h) professional bodies.

Validity

The extent to which evidence and theory support the interpretation that the assessment outcomes meet their intended uses.

The evaluation of Validity involves the development of a clear argument to support the proposed interpretation of the outcomes and as a consequence the intended

uses of the assessment. The Validity argument should be built on statements of the proposed interpretation and supporting evidence collected from all stages of the assessment process.

Workforce

Persons available for work (including employees, workers and contractors)

NOT YET IN FORCE



© Crown Copyright 2020

This publication is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated.

To view this licence, visit

www.nationalarchives.gov.uk/doc/open-government-licence/

or write to

Information Policy Team, The National Archives, Kew, London TW9 4DU

Published by:

ofqual

Earlsdon Park
53-55 Butts Road
Coventry
CV1 3BH

0300 303 3344
public.enquiries@ofqual.gov.uk
www.gov.uk/ofqual