

DRAFT – NOT YET IN FORCE

# DRAFT Conditions: awarding organisation controls for centre assessments

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# Condition A

## **Condition A4 Conflicts of interest**

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A4.6 An awarding organisation must take all reasonable steps to avoid any part of the assessment of a Learner (including by way of a Centre Assessment Standards Scrutiny) being undertaken by any person who has a personal interest in the result of the assessment.

# Condition C

## **Condition C2 Arrangements with Centres**

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

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- (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,

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# Condition H

## **Condition H2 Centre Assessment Standards Scrutiny where an assessment is marked by a Centre**

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 comply 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.

## **Condition H6 Issuing results**

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

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(d) issue results which accurately and completely reflect the marking of assessments (including the outcome of any Centre Assessment Standards Scrutiny and any other quality assurance process),

H6.2 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.

## **Condition I**

### **Condition I4 Issuing certificates and replacement certificates**

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I4.2 An awarding organisation must take all reasonable steps, including having procedures in place, to ensure that it –

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(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 H6.2,

## **New definitions**

### **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 H6.2(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.

### **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.

# **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 apply to arrangements for Centre Assessment Standards Scrutiny other than Moderation.

## **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**

- (a) Annual activities in respect of each Centre, undertaken either face-to-face or remotely, including –
  - (i) consideration of marking undertaken by the Centre since the last such scrutiny,
  - (ii) where appropriate, observation of one or more assessments being taken, and
  - (iii) where appropriate, observation of marking being undertaken by the Centre.

## **Sampling**

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

- (b) An awarding organisation must ensure that it scrutinises an appropriate sample of marking by the Centre –
  - (i) In considering what sample size is appropriate the awarding organisation must have regard to –
    - any specific risks that relate to that Centre, assessment or qualification,
    - the number of Learners registered for the qualification at the Centre,
    - the range of attainments demonstrated by those Learners,
    - the number of Assessors at the Centre involved in marking the relevant assessment and
    - the number of persons involved in internal quality assurance in relation to marking at the Centre.
  - (ii) 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 selected by the Centre itself.

## **Training and competence**

- (a) All Centre Assessment Standards Scrutiny must be carried out by persons who have –
  - (i) appropriate competence,
  - (ii) been provided with appropriate training, and
  - (iii) no personal interest in the outcome of the scrutiny.
- (b) 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.

# **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.

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 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 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.