

Supporting Information: Application for Recognition

Regulatory Operations Directorate



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Introduction

About Ofqual

The Office of Qualifications and Examinations Regulation (Ofqual) regulates all academic and vocational qualifications in England, together with vocational qualifications in Northern Ireland, where those qualifications are provided by a body recognised by Ofqual.

We are a statutory body, created by the Apprenticeships, Skills, Children and Learning Act 2009¹ as amended by the Education Act 2011.² This sets out the legal framework within which we operate, gives us powers to take specific forms of regulatory action, and defines the objectives that we must seek to achieve when we exercise these powers.

We regulate to secure standards of, and public confidence in, regulated qualifications. We also regulate to secure efficiency in the provision of qualifications, and to raise awareness of the range and benefits of regulated qualifications among learners, employers and higher education institutions. We aim to regulate so that, among other purposes set out in the Act, the interests of learners are protected.

About this document

You should use this supporting information if you are:

- applying to become a recognised awarding organisation, or
- currently recognised by us as an awarding organisation and wanting to add to your recognition to include another *Specified Qualification(s)* or *Type of Qualification(s)*.

Who can you contact for information?

If you have any questions, please check our website or email entryandexit@ofqual.gov.uk.

¹ www.legislation.gov.uk/ukpga/2009/22/contents

² www.legislation.gov.uk/ukpga/2011/21/contents/enacted

What are the *Criteria for Recognition* and *General Conditions of Recognition*?

Your application should be completed in conjunction with two important Ofqual documents: the *Criteria for Recognition*³ and the *General Conditions of Recognition*⁴.

Criteria for Recognition

The application form is structured and will be assessed against the *Criteria for Recognition*.



Criteria A. Identity, constitution and governance

The identity of the applicant and/or person(s) named in the application and who ultimately has responsibility within the proposed organisation.

Criteria B. Integrity

The honesty and trustworthiness of the applicant or person(s) named in the application, including any criminal record of the applicant and/or other named person(s).

Criteria C. Resources and financing

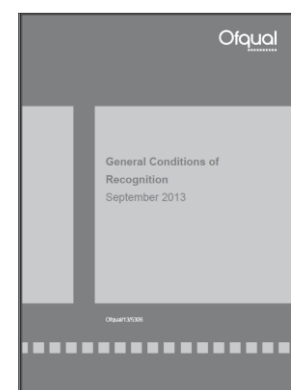
Financial and other circumstances of the applicant past and present and/or person(s) named in the application. This will include the resources required to support the operation of the regulatory functions – that is, to develop, deliver and award.

Criteria D. Competence

The experience, expertise, qualifications and history of the applicant and/or person(s) named in the application and relevant to the operation of regulatory functions.

General Conditions of Recognition

Organisations must be capable of meeting the *General Conditions of Recognition* when they are recognised for providing specific qualification types.



³ Criteria for Recognition: www.ofqual.gov.uk/files/2011-05-16-criteria-for-recognition.pdf?Itemid=201

⁴ General Conditions of Recognition: www.ofqual.gov.uk/how-we-regulate/regulatory-documents

How do you return the completed application?

Complete the online application form and email your encryption details for your uploaded documents to entryandexit@ofqual.gov.uk. If you have problems please contact us using the same email address.

What are the benefits of becoming a recognised awarding organisation?

A recognised awarding organisation will be able to develop, deliver and award regulated qualifications that will be published on the Register of Regulated Qualifications. The benefits include:

- assurance of all users that your qualifications are delivered by an organisation whose integrity, governance, resources and competence have been independently checked
- assurance of users (including learners, schools, colleges) that your qualifications are monitored and meet robust requirements, including being of the standard and level they purport to be
- confidence for purchasers, employers, higher education, funders and government that your qualifications meet robust requirements (the Government will not generally agree public funding for qualifications that are not regulated), and in some cases, meet specialised requirements that reflect specific employer needs
- your qualifications are listed on our online register of qualifications – an essential information source for those looking for information about qualifications
- opportunities for your qualifications to be referenced through national frameworks to the European Qualifications Framework, providing progression and transfer opportunities for learners.

Preparing to make your application

Often, applicants go straight to the application form and then realise that substantial work is required before they can complete it. This is because applicants must sufficiently demonstrate their organisation's ability to meet the *Criteria for Recognition* in the context of the *Specified Qualification(s)* or *Type of Qualification(s)* that they are seeking recognition to award.

Undertaking a robust evaluation ahead of completing the application for recognition is important. It may help your organisation to evaluate your progress/readiness against the *General Conditions of Recognition* for the *Specified Qualification(s)* or *Type of Qualification(s)* that you are seeking to award before submitting an application. You could use the template provided in this guidance or you may wish to use your own approach to evaluation. An evaluation can be submitted to us to support your application.

Your governing body will play a critical role in assuring us that your organisation is meeting and will meet regulatory requirements. Your governing body must assure itself that, in its opinion, the information in your application clearly demonstrates your organisation's capability and capacity to meet the *Criteria for Recognition* before the application is submitted.

It is vital that you send us all relevant information. You must be open and honest with us. The success of an application will be affected if we find during due diligence checks that you have deliberately withheld or provided false or incomplete information.

If the information that you provide is inaccurate or incomplete, this will cause a delay and may result in the return of your application.

What is the application process?

Here is a summary of the stages an application for recognition will go through.

Stage 1 – Ofqual technical review

A technical review of the responses and supporting information is undertaken against the *Criteria for Recognition* to establish whether your application can progress to a full review. At this stage we will complete our due diligence checks to verify information submitted in support of your application. We will not progress the application any further if it is incomplete or provides insufficient responses and supporting information. This stage takes a maximum of 10 working days from the acknowledgment of a complete application.

Stage 2 – Full review of the application against the *Criteria for Recognition*, and meeting with the awarding organisation

We will complete a full review of your application against the *Criteria for Recognition* and any other relevant criteria. We may invite comment and technical input from Ofqual colleagues and other experts. This stage may include an interview or visit to test, challenge and validate the evidence submitted with your application. If we return your application to you without undertaking an interview or visit we will tell you the reason(s). We aim to take a maximum of 40 working days to complete this stage.

Where you are seeking recognition from the Council for the Curriculum, Examinations and Assessment (CCEA) and/or the Welsh Government in addition to Ofqual, each regulator will make its own decision. While the decisions will be separate, the same evidence will be used.

Stage 3 – Decision on the application

If the decision is to recognise you as an awarding organisation, we will set a date from which recognition will apply. We take a maximum of 10 working days to complete this stage. We may impose a 'special condition' requiring you to provide assurance that you have implemented your documented practices following recognition. If the decision is not to recognise we will inform you of the reasons.

If you do not accept our decision on your application, in the first instance an internal review of the decision can be requested by contacting us on 0300 303 3346 or by email to info@ofqual.gov.uk.

How do we assess applications?

We consider every application on its own merits. We assess the application on the basis of:

- the information that you provide
- the information we gather through our due diligence checks.

If you are already a recognised awarding organisation, we will use risk-based analysis and intelligence from within Ofqual to inform the process.

This means that you must make sure you complete the application form in full and provide all relevant supporting information.

We will evaluate your application against the regulatory requirements in the context of the *Specified Qualification(s)* or *Type of Qualification(s)* you are seeking to be recognised to award. This will show us whether your organisation meets each of the *Criteria for Recognition* and any qualification-specific regulations.

It is important that, for each of the criteria, you consider and provide responses and supporting information that demonstrate how you meet the *Criteria for Recognition*. Responses and supporting information should provide us with clarity and assurance. This should include clear referencing to, and labelling of, documents provided.

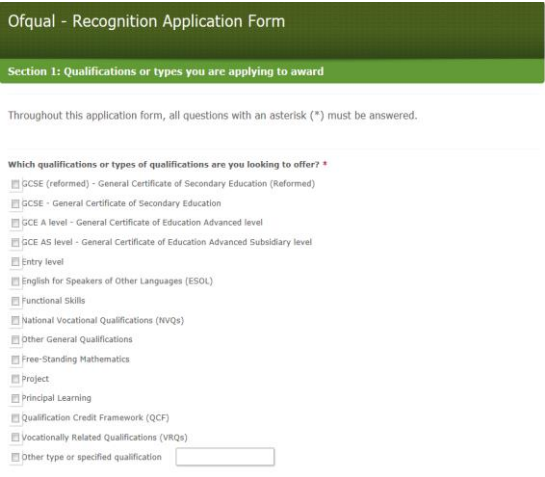
We will be looking for sufficient evidence to show how you will, once recognised, be compliant with the *General Conditions of Recognition*.

If the information that you provide is inaccurate or incomplete, this will cause a delay and may result in the return of your application

Information to support completion of the application

Section 1. Qualifications or types you are applying to award

Under the Apprenticeships, Skills, Children and Learning Act 2009, we can only recognise an awarding organisation for the *Specified Qualification(s) or Type of Qualification(s)* for which it applies to be recognised. Here you should select the *Specified Qualification(s) or Type of Qualification(s)* that you are applying to be



recognised for.

You can view a list of [types of qualifications](#). This should help you in determining your response and the supporting information you provide with your application for the selected *Specified Qualification(s) or Type of Qualification(s)*.

Make sure that you are applying for the correct Specified Qualification(s) or Type of Qualification(s) that you are seeking recognition to award. Consider your future

plans as well as your existing business. Make sure each qualification you propose to award has a title and/or description that can be used consistently in advertising and communication with all users, including learners, further and higher education providers, and employers.

For each Specified Qualification(s) or Type of Qualification(s) you select you must explain the details that underpin the high-level processes and policies you submit, clearly demonstrating how you have/will have the resources and ability to develop, deliver and award each qualification in place. You should provide details of the level of the qualification(s), the sector/subject area(s),⁵ the purpose of the qualification(s), and the assessment methodology.

⁵ www.ofqual.gov.uk/how-we-regulate/becoming-a-recognised-awarding-organisation/applying-for-recognition/sector-subject-areas

Section 2. Regulators you are applying to be recognised by

We regulate qualifications in England and vocational qualifications in Northern

Ofqual - Recognition Application Form

Section 2: Regulators you are applying to

Which regulators are you applying to be recognised by? *

If you are applying to be recognised by the Welsh Government or CCEA you will need to provide evidence in relation to each regulator's criteria of recognition.

Ofqual for all qualifications in England and vocational qualifications in Northern Ireland

Welsh Government for all qualifications in Wales

CCEA for GCSEs, GCE AS and A levels, other general qualifications and Entry Level in Northern Ireland

Ireland. We also work collaboratively with fellow regulators: the Welsh Government and CCEA, which regulates non-vocational qualifications in Northern Ireland. The qualifications regulators wish

to avoid unnecessary administrative burdens on you and want to promote a consistency of approach. So, your application will be shared with the regulators you identify in your response in this section. If you are applying to be recognised by the Welsh Government or CCEA you will need to provide evidence in relation to each country's criteria for recognition.

Section 3. Identity, constitution and governance

Section 3 covers criteria **A** of the *Criteria for Recognition*: Identity and constitution, and governance.

Sections 3.1, 3.2 and 3.3: Identity and constitution

Sections 3.1, 3.2 and 3.3 respectively cover A.1, A.2 and A.3 of the *Criteria for Recognition*. This section asks for the detail and structure of the potential awarding organisation. This provides a basis on which your business will operate and demonstrate the arrangements in place. We need to know who owns and has a financial interest in your business. If the business is owned by other entities a diagram detailing the group structure should be provided as part of the business plan.

We complete a due diligence check through an external business information supplier who verifies information you have submitted, and investigates ownership and legal status.

Where a company within your group is registered abroad, the registration number of that company and the name of the country should be provided.

Here are explanations on some of the information requested in this section of the application form.

3.1 Contact details

Note: *Corporate entities* should enter their registered office contact details.

Applicant name *

Address line 1 *

Address line 2

City or town *

County

Country *

Postcode *

Telephone number *

Main contact address and landline telephone number

You must:

- operate from premises within the European Union (EU) or European Free Trade Association (EFTA)
- have a main contact address and landline telephone number within the EU/EFTA.

3.2 Proposed responsible officer details

Title *

First name *

Surname *

Email address *

Telephone number *

Proposed responsible officer

The responsible officer is the accountable point of contact in relation to all activities undertaken by the awarding organisation that are of interest to us. This includes matters of compliance, development, delivery and award of qualifications, standards, accessibility (including equalities law) and any other matters that may affect public confidence in qualifications. Further details of the role of the responsible officer can be found under section B1 of the *General Conditions of Recognition*.

Acronym

The acronym is an indicator of your organisation's full name. It will be the reference that appears before your qualification titles and is often made up of the initials of the full name. Examples can be found on the Register of Regulated Qualifications.

3.3 Legal entity details

Name of organisation *

Legal name (if different)

Abbreviation or acronym

Type of legal entity *

- Corporate entity
- Registered charity
- Limited liability partnership
- Sole trader (individual)
- Partnership (except limited liability partnership)
- Higher education or further education institution
- Other (provide details) *

Email address of organisation *

Website address

Email address of organisation

A valid EU/EFTA company email address must be provided.

Section 3.4: Governance

This section covers **A.4, A.5 and A.6** of the *Criteria for Recognition*. Your response and supporting information should cover each of these criteria, showing how your organisation is/will be organised and governed. Where appropriate, you should also show how the recognised awarding organisation will fit within any holding company, and how it relates to parent companies and sister companies.

About A.4: Organisation and governance

Show how your proposed organisation's structure supports the awarding organisation functions – that is, to develop, deliver and award qualifications. Indicate which part of the organisational structure, staff or team roles, are responsible for these functions in terms of both delivery and accountability. It should be clear who within the organisation will sign the annual statement of compliance with the *General Conditions of Recognition*.

About A.5: Conflicts of interest

This criteria also links to A4 of the *General Conditions of Recognition*. Your response and supporting information should show how your organisation does/will identify, manage and mitigate all actual and potential conflicts of interest at individual and organisational level.

You should refer to your policy for identifying conflicts of interest and the process for addressing them.

Here are examples of activities that may give rise to a conflict of interest that needs to be managed by an awarding organisation:

- publishers acting as awarding organisations
- sector skills councils acting as awarding organisations
- national governing bodies for sports acting as awarding organisations
- certain professional bodies acting as awarding organisations
- training organisations acting as awarding organisations
- authors of examinations who are also teachers
- authors of examinations who also write text books.

This list is not exhaustive.

About A.6: Governing body oversight

This only applies to organisations. Sole traders (individuals) are exempt from providing a response.

Our frequently asked questions (FAQs) that address the *General Conditions of Recognition* provide guidance on what constitutes a governing body.

Your response should refer to the following information about the governing body:

- defined roles and responsibilities within the body
- skills and experience of its members
- how it oversees performance across the organisation
- how it integrates with governance at all levels within the organisation
- its function in ensuring your organisation's capability to comply with the *General Conditions of Recognition*
- what legal authority it has to act and take responsibility for the operation and performance of the organisation
- the control mechanisms at its disposal
- any special approach applied to governing the business of regulated qualifications as opposed to unregulated qualifications, if dealing with both.

If your organisation is a wholly owned subsidiary or a division of a larger organisation, you will need to show that your governing body has visible and authorised independence from the parent company that allows the awarding organisation to challenge operations in the parent company which may affect its ability to comply with the *General Conditions of Recognition*.

Supporting information

This section indicates the minimum requirements for documentary evidence you could provide in support of criteria A.2 and A.3 and for officers or partners in unincorporated associations and partnerships.

In addition, you may wish to make reference to, and include as evidence, some of the following information in your response for section 3.4, as evidence of how your organisation complies with criteria A.1 to A.6:

- organisation structure charts
- lists and profiles of key staff

- job/role descriptions
- terms of reference
- committee structures
- information about other activities undertaken by the applicant organisation.

This list is not exhaustive.

Section 4. Integrity

Sections 4.1 and 4.2 are declarations that respectively cover **B.1** (*Integrity of the Applicant*) and **B.2** (*Integrity of Senior Officers*) of the *Criteria for Recognition*. Section 4.3 asks for a written response to give us confidence in the declarations made at 4.1 and 4.2.

About B.1: Integrity of the Applicant and B.2: Integrity of Senior Officers

This criteria links with condition A1 ‘Suitability for continuing recognition’, of the *General Conditions of Recognition*. Information declared for this criteria will not necessarily lead to an application being rejected, however non-disclosure of an offence which is later discovered may result in an application being delayed or rejected or, once recognised, recognition being withdrawn.

Criteria B.2 (c) specifically refers to “any instance of bankruptcy or any financial arrangements to which he or she (senior officer) is or has been subject”. We will complete a due diligence check through publicly available insolvency registers of information that you have submitted. In order for us to do this we need you to provide details for each senior officer in the application form at Section 4.4.

We will determine the weight that is attached to convictions for relevant offences and unspent convictions for other offences committed, having regard to the nature and seriousness of the offence and the time that has elapsed since the offence.

Supporting information

You may wish to make reference to, and include supporting information for, some of the following in your written statement for section 4.3 to show how your organisation meets criteria **B.1** and **B.2**:

- recruitment procedures, including checks made on references
- CVs of senior officers
- processes to deal with allegations about employees
- a process for making secure decisions in confirming appointments – for example, a panel of decision makers.

This list is not exhaustive.

Section 5. Resources and financing

Section 5 relates to **C.1 (a) and (b)** 'Resources and financing' of the *Criteria for Recognition*. It also links to condition A5 'Availability of adequate resources and arrangements', of the *General Conditions of Recognition*.

This criteria is in two parts: (a) Systems, processes and resources, and (b) Financial resources and facilities, so your response may follow this structure. Part (a) is about business arrangements in relation to systems, process and resources (both people and physical facilities). Part (b) is about financial arrangements (what resources your organisation has and what financial facilities are at your disposal).

About C.1 (a) Systems, processes and resources

Your statement for section 5 should evidence the resources that will enable your organisation to develop, deliver and award the specified qualification(s). It is possible that some of these resources are not yet in place (for example, staff) since you are not yet offering the qualification(s). You should demonstrate how your organisation will put everything in place once recognised and how you will be ready to design, develop and submit qualifications for publication on the Register of Regulated Qualifications.

Your response to C.1 (a) should show that your organisation has appropriate arrangements in place to ensure a suitable IT infrastructure and premises. You must also show that you will have processes for qualification design, delivery and awarding, policies for meeting legal and regulatory requirements, and staff resourcing plans to enable you to develop, deliver and award qualifications successfully.

About C.1 (b) Financial resources and facilities

Your response to section 5 should make reference to your business plan. It should show that your organisation has or will have appropriate arrangements in place and explain how you will ensure that you have suitable support and resourcing for the qualifications you are seeking to be recognised to provide.

Supporting information

This section explains the minimum evidence you should provide in support of criteria C.1. In addition, your response may reference and include supporting documentation that shows that your organisation has or will have appropriate arrangements in place for resources, processes, policies and finance. The following lists are not exhaustive, but indicate the scope of the information that you could provide.

To demonstrate appropriate IT infrastructure and premises you can include evidence of:

- an IT strategy and tools that support development, delivery and awarding of qualifications, and the security of learner information
- dedicated and secure premises for design, delivery and awarding functions
- a business continuity plan focused on protecting learners' interests
- third-party arrangements that are in place/will be in place for any support services
- processes and policies for the main components of developing, delivering and awarding qualifications, from identifying the demand for a new qualification through to learner appeals
- a process for maintaining comparability of standards within and across qualifications over time
- an approach to evaluation and continuous improvement
- a risk management strategy appropriate and proportionate to the awarding organisation function
- a security policy covering the protection of confidential materials and information
- policies for meeting the requirements of the Data Protection Act, Equalities Law and other statutory legislation affecting learner interests
- management information reporting systems and processes.

To demonstrate appropriate processes and resources for centres and learners you can provide evidence of:

- centre approval
- arrangements for overseeing and managing centres
- identified interactions between the awarding organisation and centre, supported by training of centre staff
- processes that allow centres to apply for reasonable adjustments and special consideration, and to appeal against results
- resources allocated to customer service for centres and learners
- dealing with malpractice and maladministration.

To demonstrate appropriate staff resourcing plans you can provide evidence such as:

- an organisation structure chart
- a staffing vision for the different functions associated with developing, delivering and awarding qualifications showing:
 - headcount
 - posts and an indication of time spent in roles (for example, full-time equivalent)
 - skills and experience required of teams and individuals
- recruitment plans for posts not yet filled
- training plans
- plans for recruiting (if applicable) and managing any outsourced operations.

To demonstrate appropriate financial resources and facilities you can provide:

- financial audit reports or, if no financial audit reports are available, an alternative financial document.
- a statement to confirm that the organisation will be financially viable, which is formally approved by the board or the ultimate controller of the organisation
- details of accounting and financial monitoring systems in place for the awarding organisation function, or for a new awarding organisation, detailed proposals for maintaining accounting records and monitoring financial performance.

Section 6. Competence

Section 6 covers criteria **D.1 (a), (b) and (c)** ('Competence') of the *Criteria for Recognition*.

About D.1 Competence

You may structure your response to address your organisation's:

- **Understanding**

Your response should show that your organisation has carefully considered what changes you will make to meet the *General Conditions of Recognition*, your ability to make those changes once recognised, and how this will be undertaken. The self-evaluation form at the end of this document may help you to provide this evidence. The content and quality of your business plan, staffing plan, processes and policies, should also show that your organisation has a realistic understanding of the demands of developing, delivering and awarding qualifications.

- **Commitment**

Your organisation's commitment to the development, delivery and awarding of qualifications will be shown in the detail and quality of your application, and in your planned investment in terms of time, money and effort.

In addition, your response to section 6 should show where your organisation's commitment to business success and to learners is stated and visibly supported by, for example, your organisation's leadership.

- **Approach**

You may want to structure your response around the the lifecycle of a qualification. The response may be a series of described steps or processes within each category of development (for example, identification of demand, quality assurance of product), delivery (for example, distribution strategy for specifications, marker training for assessments) and awarding (for example, standardisation, archiving of scripts). You might wish to use your own structure that is more appropriate for your qualifications' lifecycle. You can provide as much detail as you feel is needed to show that your organisation is putting everything in place to make sure nothing is overlooked. You should also describe your approach to evaluating the success of the steps and processes involved.

Supporting information

In addition, you may wish to include some of the following evidence, if not provided already in response to other sections:

- business strategy
- business plan
- staffing plan
- details of capital investment and financial forecasts
- plans for access to staff and equipment that are sufficient to support the expected current and future demand for services
- a recent skills audit
- evidence of market scoping activity, demonstrating clear understanding of stakeholder requirements and likely delivery routes
- evidence of support from relevant stakeholders
- details of compliance with qualification development procedures
- details of how assessment personnel and procedures take into account relevant requirements linked to 'fair access by design' principles, and seek to minimise barriers to access wherever relevant
- evidence that assessment personnel have the necessary experience, training and resources, and that senior managers are also adequately experienced and skilled in this area
- evidence of a clear understanding of policies and practices to evaluate requests from stakeholders and act accordingly
- details of procedures in relation to maintaining archives, and retaining and using evidence to guide the work of examiners and awarders
- proof that systems are in place for monitoring costs, or detailed proposals for cost control
- policies on pricing, publishing information on fees and payment terms, and invoicing
- policies and procedures to ensure the quality of internal and external assessment and to deal with incidents of malpractice, appeals and complaints
- processes and procedures for the reviewing of units/qualifications to ensure their quality
- processes to collect and evaluate feedback.

This list is not exhaustive.

Sections 7 and 8. Conditions and declaration

Freedom of information

Any information or material sent to us which we record may be subject to the Freedom of Information Act 2000.

All information provided in connection with an application will be processed in accordance with the Data Protection Act 1998.

I confirm the information in this form is accurate and complete:

Chair of governing body

Full name *

Email *

Date *

Proposed responsible officer

Full name *

Email *

Date *

Declaration

You must ensure that a valid email address is provided for the Chair of your governing body and the proposed responsible officer.

If you are a sole trader (individual), then you should provide your email address in the proposed responsible officer box.

About the evaluation template

You may wish to submit to us, alongside your application, an evaluation by your organisation against the *General Conditions of Recognition*. The following template is one way in which you could show your organisation has undertaken an evaluation.

Undertaking a robust evaluation ahead of completing the application may help you to develop your evidence. It can help your organisation to evaluate progress/readiness against the *General Conditions of Recognition* before submitting an application. Often, applicants go straight to the application form and then identify that substantial preparation work is needed to show how they meet the requirements of the *Criteria for Recognition*.

Your governing body plays a critical role in assuring Ofqual that your organisation can meet the *General Conditions of Recognition* once recognised. It must assure itself that the information in the application clearly shows the organisation's ability to meet the *Criteria for Recognition* before submitting the application. This evaluation provides your senior operating team with the information and analysis to support the governing body in fulfilling its role.

Approach to evaluation

There are a number of different ways that you can undertake evaluation, continuous improvement and business development activities. It is up to you to decide how you approach your evaluation against the *General Conditions of Recognition*. The outcome of this evaluation should be used by your governing body to assure itself of the organisation's potential level of compliance. Your evaluation should cover the *specified qualifications or types of qualifications* you are applying for recognition to award.

If you use your own evaluation approach, please clearly state which documents submitted with your application provide evidence (for example of the required people, procedures, policies) to support your conclusions. You must also give us their location (that is, on your website or, submitted with your application as supporting information).

How to use this template

Column 1: Conditions

The conditions listed in the template are in the same order and groupings as in the General Conditions of Recognition⁶ document.

Columns 2 to 5: Readiness

You may find it useful to rate your organisation's 'readiness' across a range of areas as part of your evaluation process. You may already have a way of measuring this within your organisation, or you could use the template's four-point rating scale:

- A = fully compliant, with evidence to support this
- B = mainly compliant, with some evidence and actions to address identified gaps
- C = not compliant, with actions identified to work towards compliance
- D = not compliant, and no actions identified to work towards compliance.

Column 6: How we will meet the requirement when recognised

Use this column to describe the actions being planned or undertaken to meet the requirements of the *General Conditions of Recognition*. If you have given a current readiness rating of A or D it is appropriate to leave this column blank.

Columns 7 and 8: Source(s) of evidence and location

Identify the source(s) of evidence that support aspects of current compliance (people, procedures, policies and so on) and any actions being planned or undertaken to achieve compliance. Indicate where each evidence source is located (that is, on your website or intranet, or submitted with your application as supporting information).

⁶ General Conditions of Recognition: www.ofqual.gov.uk/how-we-regulate/regulatory-documents

Section A: Governance	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
A1. Suitability for continuing recognition							
Suitability for continuing recognition (A1.1, A1.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Inactive awarding organisations (A1.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Ensuring the suitability of Senior Officers (A1.4, A1.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
A2 Establishment in the EU or the EFTA							
A2.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
A3. Safeguards on change of control							
Duty on change of control (A3.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Definition of change of control (A3.2, A3.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
A4. Conflicts of interest							
Definition of conflict of interest (A4.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Identifying conflicts of interest (A4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Managing conflicts of interest (A4.3, A4.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section A: Governance	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
A4. Conflicts of interest							
Interests in assessment (A4.5, A4.6)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
The written conflict of interest policy (A4.7, A4.8)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
A5. Availability of adequate resources and arrangements							
Ensuring the ability to develop, deliver and award qualifications (A5.1, A5.2, A5.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Ensuring financial viability (A5.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
A6. Identification and management of risks							
Identifying risks (A6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Preventing incidents or mitigating their effect (A6.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Contingency plan (A6.3, A6.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
A7. Management of incidents							
A7.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section A: Governance	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
A8. Malpractice and maladministration							
Preventing malpractice and maladministration (A8.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Investigating and managing the effect of malpractice and maladministration (A8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Procedures relating to malpractice and maladministration (A8.3, A8.4, A8.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Dealing with malpractice and maladministration (A8.6, A8.7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section B: The awarding organisation and Ofqual	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
B1. The role of the responsible officer							
Appointing a responsible officer (B1.1, B1.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
The role of the responsible officer (B1.3, B1.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
B2. The annual statement to Ofqual							
B2.1, B2.2, B2.3, B2.4, B2.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
B3. Notification to Ofqual of certain events							
Notification where an event could have an Adverse Effect (B3.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Specific examples of events which could have an Adverse Effect (B3.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Notification of specified events in all cases (B3.3, B3.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Further requirements on the timing of notifications (B3.5, B3.6)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
B4. Notice to provide information to Ofqual							
B4.1, B4.2, B4.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section B: The awarding organisation and Ofqual	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
B5. Representations regarding qualifications							
Statements regarding qualifications which are not regulated qualifications (B5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Advertising and promotion of qualifications (B5.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Use of Ofqual's Logo (B5.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
B6. Cooperation with Ofqual							
B6.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
B7. Compliance with Regulatory Documents							
B7.1, B7.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
B8. Compliance with undertakings given to Ofqual							
B8.1, B8.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section C: Third parties	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
C1. Arrangements with third parties							
C1.1, C1.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
C2. Arrangements with Centres							
C2.1, C2.2, C2.3, C2.4, C2.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section D: General requirements for regulated qualifications	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
D1. Fitness for purpose of qualifications							
D1.1, D1.2, D1.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
D2. Accessibility of qualifications							
D2.1, D2.2, D2.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
D3. Reviewing approach							
Review of approach (D3.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Evidence to inform approach (D3.2, D3.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
D4. Responding to enquiries and complaints procedures							
Responding to enquiries from Users of qualifications (D4.1, D4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Complaints procedures (D4.3, D4.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
D5. Compliance of qualifications with Regulatory Documents							
D5.1, D5.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
D6. Compliance of units developed by others with Regulatory Documents							
D6.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
D7. Management of the withdrawal of qualifications							
D7.1, D7.2, D7.3, D7.4, D7.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section D: General requirements for regulated qualifications	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
D. 8 Making available information to help meet Teacher's needs							
D8.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section E: Design and development of qualifications	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
E1. Qualifications having an objective and support							
Qualifications to have an objective (E1.1, E1.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Qualifications to have support (E1.3, E1.4, E1.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
E2. Requirements on qualification titling							
E2.1, E2.2, E2.3, E2.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
E3. Publication of a qualification specification							
E3.1, E3.2, E3.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
E4. Ensuring an assessment is fit for purpose and can be delivered							
E4.1, E4.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
E5. Assurance that qualifications comply with the conditions							
E5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section F: Providing qualifications to purchasers	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
F1. Information on fees and features of a qualification							
Making fee information available (F1.1, F1.2, F1.3, F1.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Making fee information available to satisfy the planning requirements of purchasers (F1.5, F1.6)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
F2. Packaging qualifications with other products or services							
Packages offered as an option (F2.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Packages offered without alternative options (F2.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
F3. Invoicing							
Invoicing purchasers (F3.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
The written invoicing policy (F3.2, F3.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section G: Setting and delivering the assessment	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
G1. Setting the assessment							
G1.1, G1.2, G1.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G2. Language of the assessment							
G2.1, G2.2, G2.3, G2.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G3. Use of language and Stimulus Materials							
G3.1, G3.2, G3.3, G3.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G4. Maintaining confidentiality of assessment materials, including the conduct of specified training events							
G4.1, G4.2, G4.3, G4.4, G4.5, G4.6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G5. Registration of Learners							
G5.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G6. Arrangements for Reasonable Adjustments							
G6.1, G6.2, G6.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G7. Arrangements for Special Consideration							
G7.1, G7.2, G7.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G8. Completion of the assessment under the required conditions							
G8.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
G9. Delivering the assessment							

Section G: Setting and delivering the assessment	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
G9.1, G9.2, G9.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section H: From marking to issuing results	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
H1. Marking the assessment							
Marking (H1.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Marking options (H1.2, H1.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
H2. Moderation where an assessment is marked by a Centre							
H2.1, H2.2, H2.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
H3. Monitoring the specified levels of attainment for a qualification							
H3.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
H4. Adjudication by Ofqual of specified levels of attainment for a qualification							
H4.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
H5. Results for a qualification must be based on sufficient evidence							
H5.1, H5.2, H5.3, H5.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
H6. Issuing results							
H6.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

Section I: Appeals and certificates	Readiness				How we will meet the requirement when recognised	Source of evidence	Location
	A	B	C	D			
■ I1. Appeals process							
■ I1.1, I1.2, I1.3, I1.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
■ I2. Compliance with Ofqual's appeals and complaints process							
I2.1, I2.2, I2.3, I2.4, I2.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
■ I3. The design and content of certificates							
■ The design of certificates (I3.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
■ The content of certificates (I3.2, I3.3, I3.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
■ I4. Issuing certificates and replacement certificates							
■ I4.1, I4.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

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