

Annex 1

Additions to Recognition Conditions and Statutory Guidance

Condition A4: Conflicts of interest

Positive indicators

The awarding organisation:

- makes sure that its contractual arrangements with its senior examiners clearly set out any obligations on them to manage conflicts of interest arising from other activities that they undertake;
- puts in place contractual arrangements requiring all of its senior examiners to promptly notify the awarding organisation 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 and persons likely to become Learners for assessments for a qualification in respect of which they are contracted by the awarding organisation as a senior examiner. This does not apply to the preparation of teaching resources or materials by a senior examiner exclusively for Learners that he or she teaches;
- monitors assessments set by senior examiners who are, or have been, involved in the preparation of a resource designed to support the preparation of Learners and persons likely to become Learners for assessments for a qualification in respect of which they are contracted by the awarding organisation as a senior examiner to ensure that the fitness for purpose of those assessments has not been compromised by that resource. This does not apply to the preparation of teaching resources or materials by a senior examiner exclusively for Learners that he or she teachers.

Negative indicators

The awarding organisation:

- does not ensure that its contractual arrangements with its senior examiners clearly set out any obligations on senior examiners to manage conflicts of interest arising from other activities that they undertake;
- does not put in place contractual arrangements requiring all of its senior examiners to promptly notify the awarding organisation 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 and persons likely to become

Learners for assessments for a qualification in respect of which they are contracted by the awarding organisation as a senior examiner. This does not apply to the preparation of teaching resources or materials by a senior examiner exclusively for Learners that he or she teaches;

- does not monitor assessments set by senior examiners who are, or have been, involved in the preparation of a resource designed to support the preparation of Learners and persons likely to become Learners for assessments for the same qualification to ensure that the fitness for purpose of those assessments has not been compromised by that resource. This does not apply to the preparation of teaching resources or materials by a senior examiner exclusively for Learners that he or she teaches.

For the purposes of this guidance, a 'senior examiner' in respect of a qualification is a person who is employed or contracted by an awarding organisation to perform one of the roles outlined below –

- a) Chair of examiners – the person responsible to the awarding organisation for maintaining standards across different specifications in a subject within a qualification and from year to year.
- b) Chief examiner – the person responsible to the chair of examiners for ensuring that assessments for a qualification meet the requirements of the specification and maintain standards from one year to the next.
- c) Principal examiner – in relation to each unit or component of a qualification, the person responsible for the setting of the question paper/task and the standardisation of its marking.

Condition G4: Maintaining confidentiality of assessment materials, including the conduct of specified training events

Positive indicators

In addition to existing guidance

The awarding organisation:

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

Negative indicators

In addition to existing guidance

The awarding organisation:

- does not take all reasonable steps to ensure that resources designed to support the preparation of Learners and persons likely to become Learners which are prepared by current (and former) staff and contractors who have confidential information in relation to that qualification do not compromise the confidentiality of assessment materials for that qualification;
- does not train relevant staff about how to protect confidential assessment materials including during the preparation of any resources designed to support the preparation of Learners and persons likely to become Learners, for a qualification in respect of which they have access to confidential assessment materials;
- does not require all current (and former) staff and contractors who have confidential 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 and persons likely to become Learners, for a qualification in respect of which they have access to confidential assessment materials. This does not apply to the preparation of teaching resources or materials by a current (or former) contractor exclusively for Learners that he or she teaches;
- does not monitor assessments set by all current (and former) staff and contractors who are, or have been, involved in the preparation of a resource designed to support the preparation of Learners and persons likely to become Learners, for assessments for the same qualification in respect of which they have confidential 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) contractor exclusively for Learners that he or she teaches.

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- b) Chief examiner – the person responsible to the chair of examiners for ensuring that assessments for a qualification meet the requirements of the specification and maintain standards from one year to the next.
- c) Principal examiner – in relation to each unit or component of a qualification, the person responsible for the setting of the question paper/task and the standardisation of its marking

Condition F2: Packaging qualifications with other products or services

Positive indicators

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.

Negative indicators

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 Users of qualifications who are purchasers of 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.

Positive indicators

The awarding organisation:

- considers 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 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.

Negative indicators

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.

