



# Annual Statement of Compliance Report 2016



# CCEA Regulation

## Annual Statement of Compliance Report 2016

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## 1. Introduction

The Council for the Curriculum, Examinations and Assessment (CCEA) has been responsible for regulating all qualifications in Northern Ireland since May 2016. This includes the accreditation and quality assurance of qualifications, as well as recognising and monitoring awarding organisations.

Condition B2 of CCEA's General Conditions of Recognition February 2016 (the Conditions) requires all recognised awarding organisations to submit an Annual Statement of Compliance to CCEA Regulation. This Annual Statement provides assurance of the awarding organisation's compliance with the Conditions. All recognised awarding organisations are subject to the Conditions and are required to show evidence of how they are compliant.

This process enables CCEA Regulation to ascertain an awarding organisation's levels of awareness and governance of its self-evaluation process. It also helps to build up an evidence base that CCEA Regulation may use in any subsequent regulatory activity.

This report details how CCEA Regulation reviewed the 2016 Annual Statements of Compliance received from awarding organisations that offer qualifications in Northern Ireland. It also summarises the main findings and next steps

## 2 Annual Statement of Compliance 2016 Process

CCEA Regulation has produced the Annual Statement of Compliance template (see Appendix) in collaboration with other qualification regulators since 2012. As a result of changes to its regulatory remit in Northern Ireland, CCEA Regulation made a number of changes to the previous template when developing the Annual Statement of Compliance 2016 template.

These changes included requiring the awarding organisations to:

- complete an action plan, if the awarding organisation is currently and/or likely to become non-compliant, detailing how it intends to become compliant and its proposed compliance date;
- describe their processes, procedures and systems for identifying and managing risks that could have an adverse effect;
- describe their processes, procedures and systems for identifying, managing and promptly notifying CCEA Regulation of incidents that could have an adverse effect; and
- provide evidence of the qualifications they awarded in Northern Ireland in the previous 12 or 24 months.

## 3. Findings

### 3.1 Summary of Findings

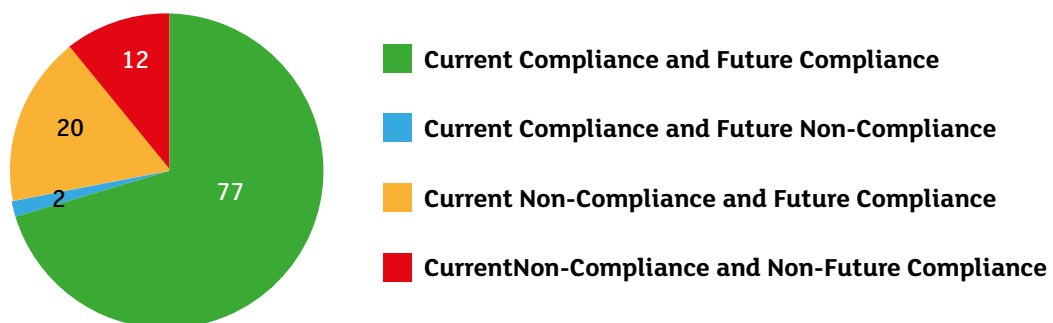
CCEA Regulation asks awarding organisations annually to confirm compliance with the following sections of the Conditions:

- Section A: Governance
- Section B: The awarding organisation and CCEA Regulation
- Section C: Third parties
- Section D: General requirements for regulated qualifications
- Section E: Design and development of qualifications
- Section F: Providing qualifications to purchasers
- Section G: Setting and delivering the assessment
- Section H: From marking to issuing results
- Section I: Appeals and certificates
- Section J: Interpretation and definitions

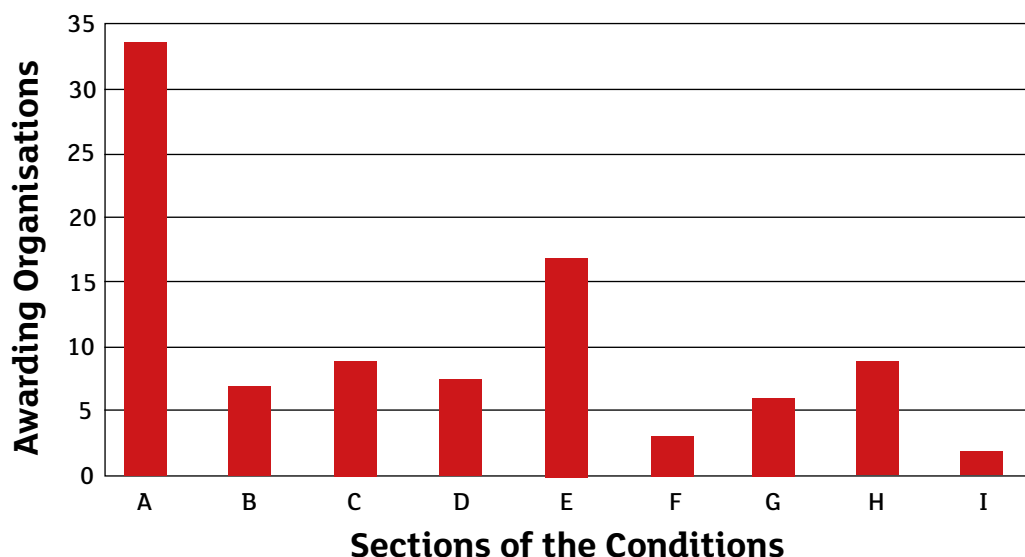
CCEA Regulation received 111 Annual Statements of Compliance from awarding organisations by 30 September 2016. The awarding organisations confirmed their compliance as follows:

- 77 declared current and future compliance;
- 2 declared current compliance and future non-compliance;
- 20 declared current non-compliance and future compliance by 30 September 2017; and
- 12 declared current non-compliance and future non-compliance by 30 September 2017.

#### Awarding Organisations Compliance at 30 September 2016



### 3.2 Non-Compliance by Section of the Conditions



The section of the Conditions with the most frequently identified non-compliance was Section A. 34 awarding organisations were non-compliant with these Governance Conditions. The main areas of non-compliance were Condition A1.5 (a) (submit to CCEA Regulation a qualification that has met the Conditions) and Condition A1.5 (b) (take all reasonable steps to ensure that no two-year period passes in which the awarding organisation does not award a qualification in Northern Ireland). Other non-compliances reported in this Governance section included:

- not identifying a conflict of interest (Condition A4.2);
- not identifying and managing the risk of any incident that could have an adverse effect (Condition A6.1);
- not having steps in place to prevent such an incident from occurring (Condition A6.2); and
- not having an up-to-date contingency plan (Condition A6.3).

The next section with the most frequently identified non-compliance was Section E. 17 awarding organisations identified non-compliances in this area, including:

- not publishing a specification for a qualification (Condition E3.1); and
- not setting out, in the specification, all of the qualification's requirements (Condition E3.2).

Nine awarding organisations were non-compliant in Section C and Section H. In Section C, the key non-compliance was inadequate arrangements with centres (Condition C2.3). In Section H, the key non-compliances were:

- failing to moderate assessments marked by a centre (Condition H2.1);
- not monitoring the specified levels of attainment for a qualification (Condition H3.1); and
- not providing sufficient evidence on which to base the results for a qualification (Condition H5.2).

### **3.3 Integrity of Qualifications**

44 awarding organisations provided evidence of training and face-to-face meetings held with centres and teachers in Northern Ireland in the previous 12 months (Conditions B2.6, C.2 and D8.1). CCEA Regulation asked 67 awarding organisations to provide additional evidence to confirm the extent of engagement in what they deemed to be face-to-face meetings (Condition C2.5).

### **3.4 Identification and Management of Risks**

101 awarding organisations provided evidence of having a policy or policies in place to identify, mitigate and manage risks that could have an adverse effect (Condition A6.3). Ten awarding organisations were asked to provide additional evidence of how they managed these risks throughout the organisation, and the processes, including administration procedures, that were in place for identifying, managing, and mitigating these risks.

### **3.5 Management of Incidents**

95 awarding organisations provided evidence of systems to identify, manage and report risks (Conditions A7.1 and B3.1). 16 awarding organisations were asked to provide further evidence to confirm their processes, procedures and systems for recording and monitoring incidents that could have an adverse effect and the stage at which they notify CCEA Regulation of incidents.

### **3.6 Awarding Organisation Activity**

CCEA Regulation had asked awarding organisations to provide evidence of qualifications awarded in Northern Ireland in the previous 12 or 24 months. It had also requested the number of active centres and the number of learners currently registered for or working towards qualifications. The majority of awarding organisations provided only some of the information requested. As a result, CCEA Regulation asked 85 awarding organisations to confirm the number and titles of all qualifications they offer in Northern Ireland, the number of registered learners, and the number of qualifications they had awarded in the previous 24 months.

### **3.7 New Awarding Organisations**

Six of the 77 awarding organisations that declared current compliance and future compliance had, in fact, only received recognition as an awarding organisation in 2016. Therefore, they did not meet Conditions A1.5 (a) and (b), as they had no registered learners and/or centres and had not awarded qualifications in the previous two years. They declared the intention of being fully operational and/or compliant within the next two years.

### **3.8 Ofqual Regulated**

Three awarding organisations declared current compliance and future compliance but were, in fact, regulated by Ofqual only and had no centres, no registered learners and no qualifications awarded in Northern Ireland.



## 4. Actions by CCEA Regulation

CCEA Regulation reviewed 34 action plans and used these to monitor the awarding organisations' progress towards compliance. In December 2016, CCEA Regulation asked these awarding organisations for an updated action plan showing the progress they had made to meet future compliance requirements and their proposed compliance date.

As a result, 12 awarding organisations declared likely compliance before or by 31 March 2017 and five declared likely compliance before or by 30 September 2017. Four subsequently declared their intention to surrender recognition in Northern Ireland.

## 5. Summary of Findings at 31 March 2017

At 31 March 2017, the compliance status of the 111 awarding organisations is as follows:

- 86 are compliant;
- 5 expect to be compliant before or by 30 September 2017;
- 9 expect to be compliant before or by 31 March 2018;
- 8 have declared their intention to surrender recognition in Northern Ireland; and
- 3 have confirmed they are regulated by Ofqual only.

## 6. Next Steps

Further information received shows that eight awarding organisations had registrations and had awarded qualifications in the previous two years, but had not returned an Annual Statement of Compliance for 2016. CCEA Regulation is in the process of taking regulatory action to ensure that all awarding organisations offering qualifications in Northern Ireland have completed an Annual Statement of Compliance.

The findings highlighted certain improvements that CCEA Regulation could make to the Annual Statement of Compliance template. It has already taken steps to improve the template and to provide clearer information to awarding organisations on how to provide evidence to meet the Conditions. Where appropriate, CCEA Regulation will collaborate with other qualification regulators to reduce the administrative burden on awarding organisations.

## Appendix



### **CCEA Regulation Annual Statement of Compliance 2016**

The Council for Curriculum, Examinations and Assessment (CCEA) has responsibility for the regulation of qualifications in Northern Ireland. Working independently from CCEA Awarding Organisation, CCEA Regulation is responsible for the accreditation and quality assurance of all qualifications offered in Northern Ireland, including GCSE, GCE and Professional and Technical (Vocational) qualifications. Our regulatory work also includes the recognition and monitoring of Awarding Organisations, ensuring that they have the capability to deliver the qualifications in their portfolio and that they meet our General Conditions of Recognition.

Condition B2 of the CCEA Conditions of Recognition February 2016 requires all recognised awarding organisations to submit an annual statement to us. Your annual statement provides us with your judgements about your levels of compliance with our Conditions of Recognition. Condition B2.4 requires that your statement is accurate. If we, through our regulatory work, identify that your statement is inaccurate you may be non-compliant with this condition and we may take regulatory action.

You are required to complete this statement in full.

You may include additional evidence and/or documents in section 9 to support your statement. However, the evidence you include will only be reviewed if it is relevant to your responses and clearly referenced to the conditions and the section that it is used to support.

#### **Submitting your statement**

Please submit your completed statement as a PDF document to:  
[ccearegulation@ccea.org.uk](mailto:ccearegulation@ccea.org.uk)

The submission window for your statement is between **Wednesday 1 June and 5pm on Friday 30 September 2016**. You must submit your statement during this window.



## CCEA Regulation Annual Statement of Compliance 2016

Please complete this template to make your annual statement to CCEA Regulation, as required by condition B2 of the CCEA Conditions of Recognition February 2016.

### Section 1: Your statement

Awarding Organisation name: \_\_\_\_\_

As Chair of the Governing Body I confirm that (indicate with 'X' as appropriate):

Statement	X
We are fully compliant with all of the CCEA Conditions of Recognition February 2016	<input type="checkbox"/>
We are not fully compliant with all of the CCEA Conditions of Recognition February 2016 and have indicated such non-compliance in section 2	<input type="checkbox"/>
We have no cause to believe that we are likely to fail to comply with any of the CCEA Conditions of Recognition February 2016 within the next twelve months	<input type="checkbox"/>
We are likely to be non-compliant with some or all of the CCEA Conditions of Recognition February 2016 within the next twelve months and have indicated likely non-compliance in section 3	<input type="checkbox"/>

## Section 2: Current non-compliance

If you have indicated that you are currently not compliant with some or all of the CCEA Conditions of Recognition February 2016 please describe below:

- The Conditions with which you are not compliant
- How you know that you are not compliant
- When you expect to become compliant

## Section 3: Likely future non-compliance

If you have indicated that you are likely to become non-compliant with some or all of the CCEA Conditions of Recognition February 2016, please describe below:

- The Conditions with which you are likely to fail to comply
- How you know that you are likely to fail to comply

## Section 4: Awarding Organisation action plan

If you have identified in section 1 that you are currently not compliant and/or likely to become non-compliant in the future, you must complete the action plan below. Please detail the action(s) you are taking and/or intending to take to become compliant and the planned dates for the completion of the action(s). You may include additional rows in your action plan.

This action plan will be reviewed by CCEA Regulation against the information included in your statement and against other information that we hold. This action plan will be regularly monitored by CCEA Regulation and will be used to monitor your progress towards compliance.

Awarding Organisation action plan					
Current non-compliance action plan					
Non-compliance (e.g. A.1.3)	Action you are taking to become compliant	Proposed completion date	Progress against the planned action	Completion date	Validation by CCEA Regulation
					To be completed by CCEA Regulation

Likely future non-compliance action plan					
Likely non-compliance (e.g. A.1.3)					
Likely non-compliance (e.g. A.1.3)	Action you are taking and/or intending to take to ensure compliance	Proposed completion date	Progress against the planned action	Completion date	Validation by CCEA Regulation
					To be completed by CCEA Regulation

## Section 5: Integrity of Qualifications - Conditions B2.6/C2.5/D8.1/G4/J1.8

The CCEA Conditions of Recognition February 2016 seek to ensure the integrity of qualifications is not compromised by awarding organisation's contacts with centres/teachers in N Ireland. These Conditions require awarding organisations to:

- make any training on specific qualifications for teachers and others widely available and publish the training materials used;
- put in place additional measures to protect the confidentiality of their assessments,
- monitor training events closely; and
- provide a statement annually on how they have conducted face to face meetings with centres/teachers in N Ireland in the previous 12 months.

Please refer to the attached letter dated August 2013 for further guidance.

State how your Awarding Organisation conducted face to face meetings with centres/teachers in N Ireland in the previous 12 months.

If you have not held meetings within the past 12 months, please explain why.

## Section 6: Identification and management of risks (A6)

Condition A6 requires awarding bodies to take all reasonable steps to identify, prevent, mitigate and manage risks which could have an adverse effect.

To evidence compliance with this condition we require that you **describe your processes, procedures and systems for identifying and managing risks which could have an adverse effect**. Your response should include:

- Your process for identifying and recording risks.
- The factors you consider when identifying risks, including qualifications that you may consider to be high risk.
- Your approach to classifying risks.
- The steps you take to prevent and/or reduce the likelihood of risks.
- The steps you take to mitigate, as far as possible, any adverse effect.
- Your process for monitoring and reviewing the identified risks.
- Details of your contingency planning Details of any oversight of risk management by your Governing Body.



## Section 7: Management of incidents (A7, B3)

Condition A7 requires awarding organisations to promptly take all reasonable steps to manage incidents which could have an adverse effect. Condition B3 requires awarding organisations to promptly notify CCEA Regulation of any event that has occurred or is likely to occur which could have an adverse effect. We refer to such events as incidents.

We are seeking assurance that all awarding organisations have clear and robust systems in place to identify, manage and promptly notify CCEA Regulation of incidents which could have an adverse effect.

To evidence compliance with these conditions we require that you **describe your processes, procedures and systems for identifying, managing and promptly notifying CCEA Regulation of incidents which could have an adverse effect**. Your response should include:

- How you identify, record and monitor incidents which could have an adverse effect.
- Your process for confirming whether or not an incident could have an adverse effect.
- The steps you take to prevent any adverse effect and, where any adverse effect occurs, mitigate it as far as possible.
- The steps you take to effectively manage incidents which could have an adverse effect.
- At what stage you notify CCEA Regulation of incidents which could have an adverse effect.

## Section 8: Awarding Organisation activity (A1.5)

Condition A1.5 states that an awarding body must take all reasonable steps to ensure that no two-year period passes in which it does not award a qualification in accordance with its Conditions of Recognition. For CCEA Conditions of Recognition February 2016 this should be read as qualifications awarded in N Ireland. A qualification is awarded in N Ireland if there are learners who have been, or are likely to be, assessed wholly or mainly in N Ireland.

To evidence compliance with this condition we require that you **provide evidence that you have awarded qualifications in N Ireland:**

- a) **in the previous 12 months; or if not, then**
- b) **in the previous 24 months.**

Your evidence could include:

- Number of active centres in N Ireland.
- Total number of certificates awarded in N Ireland in each of the previous two years.
- Number of N Ireland learners currently registered on or working towards qualifications.

## Section 9: Documentation and evidence

This section is for you to record any documentation and evidence that you are submitting to CCEA Regulation to support your statement.

This is optional, but anything that you do submit will only be reviewed if it is relevant to your responses and clearly referenced to the conditions and the section that it is supporting.

Evidence name, number or reference	What is this evidence supporting and how? (include the section and condition(s) that it is supporting)

## Section 10: Declaration

We confirm that our Governing Body has reviewed and formally approved this statement, indicating their assent and confirming the accuracy of it.

We confirm that the answers we have given in this statement are accurate and describe our current position.

We understand that we may be in breach of condition B2.4 if CCEA Regulation finds that this statement is incorrect.

We understand that, in accordance with Condition B3.1, we must promptly notify CCEA Regulation if we have cause to believe that any event has occurred, or is likely to occur, which could have an adverse effect.

<b>Your name (Chair of Governing Body)</b>	
<b>Your signature</b>	
<b>Your name (Responsible Officer)</b>	
<b>Your signature</b>	
<b>Awarding Organisation</b>	
<b>Date of statement</b>	



For further information or copies of this report, please contact:

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