

Annual Statement of Compliance Report 2018



CCEA Regulation



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Executive Summary

Recognised awarding organisations (AOs) in Northern Ireland must submit an Annual Statement of Compliance confirming whether or not they are currently compliant and future compliant with the CCEA Regulation General Conditions of Recognition (GCoR). Seventy-two AOs declared compliance with the GCoR and twenty-eight non-compliance by the end of the submission window for 2018 Statements of Compliance on 28 September 2018. Subsequent action planning, ongoing communication and the withdrawal of one AO resulted in seventy-eight declaring compliance and twenty-one working towards compliance by 31 January 2019.

Four key Areas of Enquiry were included within the Annual Statement of Compliance:

- Condition G4 – Maintaining confidentiality of assessment materials including the conduct of specified training events;
- E5.2 – Assurance that qualifications comply with the conditions;
- A1.5 – Awarding Organisation activity; and
- I3.1 – The design and content of certificates.

The two-year transition period for AOs previously regulated by Ofqual to meet compliance with CCEA Regulation GCoR expired in May 2018. Fewer AOs submitted a Statement of Compliance in 2018 than in 2017 and 2016. Eight AOs withdrew recognition mainly because of a poor uptake of qualifications and the expiry of the transition period. We continue to monitor the action plans for those AOs which remain non-compliant of some areas of the GCoR.

Any regulatory intelligence gathered through this process will be used to inform a 2019 AO Monitoring Programme including the accreditation of an individual qualification or a group of qualifications. CCEA Regulation Statement of Compliance work has been carried out in parallel with Ofqual and Qualifications Wales.

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 (AOs). CCEA works alongside Ofqual and Qualifications Wales (QW) to ensure greater co-ordination and co-operation between regulators on a range of regulatory activities, including compliance.

Condition B2 of CCEA's General Conditions of Recognition (GCoR) May 2017 requires all recognised AOs to submit an Annual Statement of Compliance to CCEA Regulation. This statement provides assurance of the AO's compliance with the GCoR. All recognised AOs are subject to the GCoR and are required to show evidence of how they are compliant. This process enables CCEA Regulation to ascertain an AO's level of awareness and governance of its self-evaluation process. It also provides an evidence base for future regulatory activity.

This report details how CCEA Regulation reviewed the 2018 Annual Statement of Compliance declarations. It records the monitoring process used to encourage all AOs towards compliance with the GCoR and summarises the main findings, conclusions and next steps.

2. Annual Statement of Compliance 2018 Process

CCEA Regulation has produced an Annual Statement of Compliance template since 2012. This asks AOs to confirm whether or not they are fully compliant with the GCoR and are likely to be compliant or non-compliant with any of the GCoR within the next 12 months. If any declare non-compliance, or likely non-compliance, they are asked to submit an action plan outlining how they intend to become compliant.

The Annual Statement of Compliance 2018 template (Appendix 2) focused on the following Areas of Enquiry:

- GCoR G4 – Maintaining confidentiality of assessment materials, including the conduct of specified training events. AOs were required to detail how they conducted face-to-face meetings with centres/teachers in Northern Ireland in the previous 12 months and, if they had not held meetings during this time, to explain why.
- GCoR E5.2 – Assurance that qualifications comply with the Conditions. Before submitting a qualification to the Register for offer in Northern Ireland, an AO must submit a list of qualifications it intends to upload to the Register on a quarterly basis. Even if they have no qualifications to upload that quarter, they must make a 'nil return'. If they do have qualifications to upload, these may be subject to accreditation and cannot be uploaded to the Register without approval from CCEA Regulation.
- GCoR A1.5 – Awarding Organisation activity. AOs were required to provide evidence that they had awarded qualifications in Northern Ireland (a) in the last 12 months or, if not, then (b) in the last 24 months. They were asked to provide details of the number of active centres they had in Northern Ireland, the total number of certificates awarded in Northern Ireland in each of the previous two years and the number of Northern Ireland learners currently registered on or working towards qualifications.

- GCoR I3.1 – The design of certificates. The AO must ensure that the design of each certificate for a qualification that it makes available complies with any certificate requirements published by CCEA Regulation. These may be revised from time to time. See the **CCEA Regulation Handbook for Awarding Organisations 2017** available at www.ccea.org.uk

3. Declarations

3.1 Summary at 28 September 2018

CCEA Regulation asks AOs annually to confirm compliance with the GCoR. We received 100 Annual Statements of Compliance on, or within a week of, 28 September 2018. CCEA Regulation had monitored 107 AOs in 2017. 6 had withdrawn their recognition before the submission deadline in 2018. This was mainly due to their lack of centres and learners in the region. 1 AO, did not return a Statement of Compliance 2018 but on request confirmed the withdrawal of recognition. See Section 4 for an update on findings and summary declarations as of January 2019, as a result of action plan monitoring up to this point.

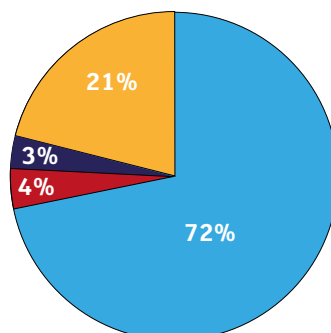
Awarding Organisations' Declared Compliance at 28 September 2018

The awarding organisations declared their compliance as follows:

- 72 declared current compliance and likely future compliance within the next 12 months.
- 21 declared not fully compliant with all of the CCEA GCoR and/or likely to be non-compliant with some or all of the CCEA GCoR within the next 12 months.
- 4 declared current compliance but likely to be non-compliant with some or all of the CCEA GCoR within the next 12 months.
- 3 declared current non-compliance and likely future compliance within the next 12 months.

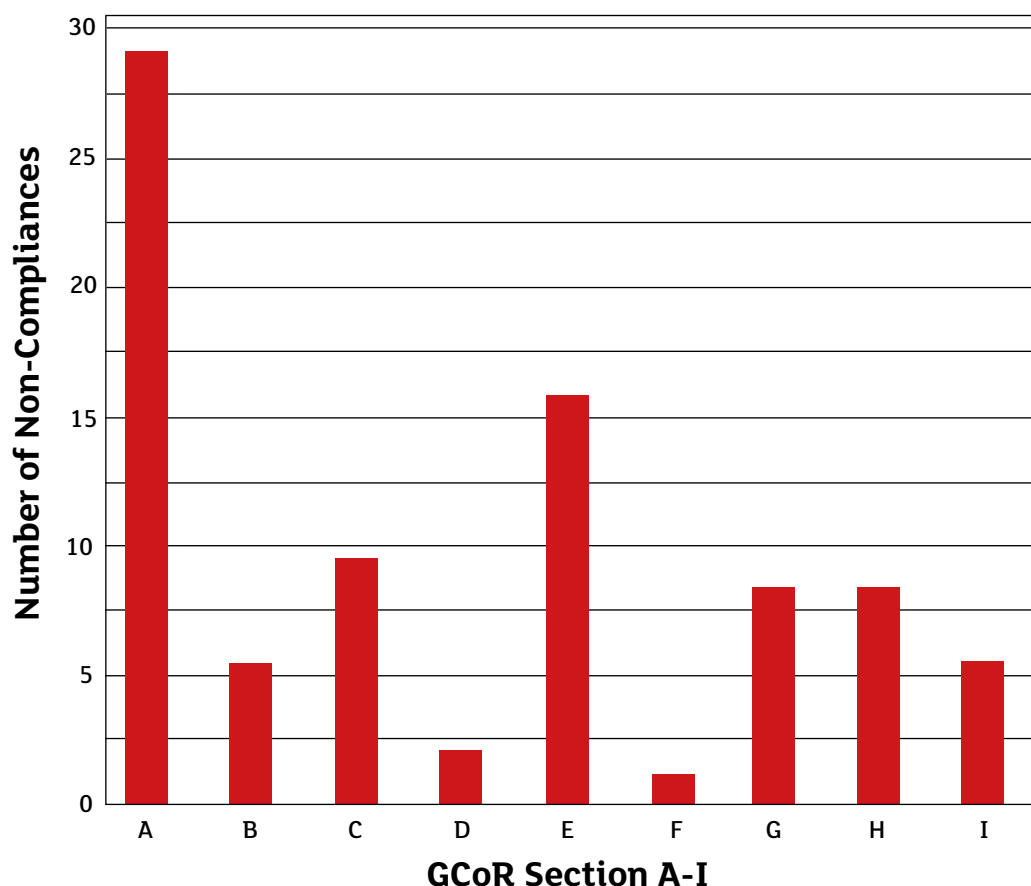
Awarding Organisations' Declared Compliance at 28 September 2018

- Current compliance and also likely future compliance within the next twelve months
- Current compliance and also likely future non-compliance within the next twelve months
- Current Non-Compliance and also likely future compliance within the next twelve months
- Current Non-Compliance and also likely future non-compliance within the next twelve months



3.2 Declared Non-Compliance by Section of the GCoR

CCEA Regulation monitored all AOs which declared non-compliance. We recorded all non-compliance by section including where more than one non-compliance was declared for that section by an AO. The sections with the highest frequency of non-compliance declared were: Section A: Governance; Section E: Design and development of qualifications; Section C: Third parties; Section G: Setting and delivering the assessment; and Section H: From marking to issuing results.



Detail of declared non-compliance by section can be found in Appendix 1 of this document.

3.3 Area of Enquiry GCoR G4: Maintaining confidentiality of assessment materials, including the conduct of specified training events

The 2018 Statement of Compliance focused on four key Areas of Enquiry. The first was G4: Maintaining confidentiality of assessment materials, including the conduct of specified training events.

The responses varied in style and detail. Some AOs provided detailed evidence of their procedures and some did not. Face-to-face events referred to included regional events, forums, conferences, seminars, roadshows, consultation days, public events, centre liaison days, standardisation meetings, training workshops and courtesy visits. Those not offering face-to-face meetings listed various forms of remote support, including online.

CCEA Regulation found:

- 59 offered some form of face-to-face meetings with centres;
- 29 used remote forms of communication only; and
- 12 had not conducted meetings, mainly due to inactivity or poor uptake.

59 (59%) provided evidence of some form of face to face support and training with centres and teachers in NI during the previous 12 months. Many offered annual events, some stating these were mandatory for new tutors and for all tutors every two years. Some used Specimen Assessment materials at support events and had a range of safeguards in place to maintain confidentiality of assessment materials. Some stated their examiners did not conduct training sessions and that examination papers were regularly changed. Some held a liaison day with presentations from subject specialists on the previous series of examinations providing general guidance and practical tips on exam practice. A few reported it was up to the centre to request support or a visit.

There was evidence that a number of AOs conducted quality assurance visits to centres to ensure the compliance of their policies, procedures and the administration of their qualifications. Some centres had at least one visit per year from the External Qualification Assessor (EQA) to maintain approval status and only qualification and assessment staff had access to exam materials. Some stated that having a Chief Examiner or External Assessor based in Northern Ireland meant they were ideally placed to offer support to teachers. One conducted only monitoring and not training visits.

29 (29%) offered remote support including online support, telephone audits, desk top reviews, annual reports, postal verifications, regular contact via Skype, Facetime, WhatsApp, webinars and/or email. AOs declared a range of operational models:

- 1 offered online support, stating that this optimised teacher access to training;
- 1 stated their materials from 'live' events were available online;
- a number were not directly involved in any schools, colleges or provision with training centres in Northern Ireland and delivered directly to the learner, with no teachers, face-to-face or centre/teacher meeting required;
- 2 stated learners entered examinations themselves and not through teachers;
- a few conducted all assessments centrally which minimised risk by not operating through centres;
- 1 stated all assessments were by distance learning, externally set and marked;
- 1 had satellite centres in Northern Ireland working under an Approved Centre in England with whom the AO has contact for quality assurance purposes or which operated as test centres only, adding that if invigilation and examination procedures were conducted without incident, which they confirmed, there was no call for face-to-face meetings;
- 1 used a risk-based model to determine whether to make a visit or not; and
- another reported EQAs were performance managed to ensure occupational competence.

12 (12%) had not offered either face-to-face or remote support, of which:

- 8 claimed inactivity, having no centres, learners or qualifications, of which 2 were now taking steps to either address centre training support in Northern Ireland or improve customer experience but had no learners;
- 1 reported only one learner;
- 1 had not awarded a full unit and had few learners;
- 1 claimed no need for further meetings as there had been no change to their qualifications and qualifications on offer did not have confidential assessment materials; and
- 1 operated satellite centres in Northern Ireland and only worked through the main Approved Centre in England, adding that their qualifications were accredited through Ofqual. They were asked to confirm their regulator.

In summary, CCEA Regulation found:

- 88 provided evidence of maintaining confidentiality of assessment materials whilst offering face-to-face and/or remote support;
- 59 provided evidence of having conducted some form of face-to-face support and/or training with centres/teachers in Northern Ireland during the previous 12 months, including quality assurance visits to centres to ensure compliance of their policies, procedures and administration;
- 29 reported offering remote access support for learners and/or assessment at test centres, thus minimising the incidence of risk; and
- 12 had conducted no face-to-face meetings due to either no activity or a low uptake of their qualifications in Northern Ireland. They were asked for an update of their action plans and intentions, for return by 25 January 2019.

3.4 Area of Enquiry GCoR E5.2: Assurance that qualifications comply with the Conditions

Our second Area of Enquiry was GCoR E5.2 – Before submitting a qualification to the Register in Northern Ireland, AOs were required to (a) on a quarterly basis submit a list of such qualifications to CCEA Regulation for accreditation and (b) await an approval decision before uploading to the Register the availability of the qualification in Northern Ireland. Only qualifications that are ‘new’ or ‘significantly amended’ are to be included in the return. AOs are required to make a ‘nil return’ if they have no qualifications for accreditation in a quarter. Before the start of each quarter a Quarterly Return template is sent out for return by a specified date. AOs must not tick ‘offered in NI’ on the Portal or upload to the Register any qualification listed in the Quarterly Return until advised to do.

99 (99%), including those who were not active, met compliance by having made a ‘full return’, at least ‘one return’, or a ‘nil return’ by the required date. Our monitoring process is designed to ensure we receive a response from all AOs. Our Accreditation section samples all ‘new’ or ‘amended’ qualifications for compliance with the GCoR and the Northern Ireland Entitlement Framework, priority skills and local support requirements. This activity informs our scrutiny and monitoring processes. It also helps determine the level of risk associated

with an AO in terms of their operations relating to governance, administration, finance, arrangements with centres and CCEA Regulation.

3.5 Area of Enquiry GCoR A1.5: Awarding Organisation activity

The third Area of Enquiry was GCoR A1.5 – Awarding Organisation activity. Each AO must take all reasonable steps to ensure that no two-year period passes in which it does not award a qualification in Northern Ireland in compliance with GCoR A1.5 (a) and (b). A qualification is awarded if there are learners who have been, or are likely to be, assessed wholly or mainly in Northern Ireland.

90 (90%) provided evidence of having activity in Northern Ireland, registered learners, and certificates awarded in the previous 12 months and/or 24 months. Of the 10% which had not:

- 6 had no centres or learners; and
- 4 cited poor uptake of their qualifications despite extensive marketing in the region.

All 10 AOs were asked to update their action plans and intentions for return by 25 January 2019:

- 1 has now withdrawn recognition;
- 1 intends to withdraw if uptake does not improve; and
- 8 have yet to secure centres and learners for their qualifications.

We continue to monitor their action plans towards full compliance. All AOs must have active centres in Northern Ireland, as of May 2018, to retain their recognition as the transition period has now expired. See the **CCEA Regulation Handbook for Awarding Organisations 2017** available at www.ccea.org.uk

3.6 Area of Enquiry GCoR I3.1: The design and content of certificates

The final Area of Enquiry was GCoR I3.1 – The design and content of certificates. Each AO was required to ensure that the design of each certificate for a qualification that it makes available complies with any certificate requirements published by CCEA Regulation. These may be revised from time to time. See the **CCEA Regulation Handbook for Awarding Organisations 2017** for details.

AOs were required to provide a sample copy of the certificate used to award learners in Northern Ireland in their Statement of Compliance 2018. We found that:

- 81 (81%) were compliant; and
- 19 (19%) were not:
 - 8 were inactive and did not have certificates, although 1 planned compliance in their next print. 1 stated that ‘this would be implemented in line with their new compliance system which is currently being updated’ and another that ‘the logo was not currently included due to the risk of a low uptake of their qualifications’ and that ‘this was to be reviewed, along with their recognition status, at their next certificate print’.

- 11 AOs submitted a certificate with either an incorrect CCEA Regulation logo or no CCEA Regulation logo and were asked to resubmit a sample certificate with the required logo by the end of January 2019. 6 have now complied.

We continue to monitor progress towards compliance with this Condition. All qualification certificates must now display the CCEA Regulation logo as the transition period expired in May 2018 – see the **CCEA Regulation Handbook for Awarding Organisations 2017** available at www.ccea.org.uk

4. Findings

4.1 Awarding Organisation Compliance following Review by CCEA Regulation September 2018

- 100 (100%) returned an Annual Statement of Compliance 2018 – 94 by the closing date of 28 September 2018.
- 72 (72%) declared current compliance and likely future compliance within the next 12 months. 3 AOs were found to be non-compliant with at least one of the following Conditions: not displaying the CCEA logo on their certificates, not submitting qualifications for accreditation, or not having any activity in Northern Ireland.
- 28 (28%) declared either current or future non-compliance and were asked to update their action plans for resubmission. 6 declared compliance before the closing date of 31 January 2019.

4.2 Awarding Organisation Compliance following Review by CCEA Regulation 31 January 2019

The compliance status is as follows:

- 78 are now compliant;
- 1 has now surrendered recognition;
- 21 are now non-compliant, of which:
 - 5 are inactive;
 - 12 plan future compliance – 7 by June 2019 and 5 by January 2020;
 - 1 must provide more evidence of compliance;
 - 1 must confirm their regulator;
 - 1 is in the process of withdrawing; and
 - 1 plans withdrawal should there be no uptake of their qualifications.

We continue to monitor the progress of all non-compliant AOs. CCEA Regulation now monitors 99 AOs as of 31 January 2019.

5. Conclusions and Next Steps

5.1 The Process

93% of CCEA-recognised AOs submitted a Statement of Compliance by the close of the submission window. This rose to 100% following further communication and the withdrawal of some inactive AOs. Some inaccuracies were observed in the Statement of Compliance submissions as some AOs had declared full compliance and likely future compliance but were found to be non-compliant with some of the GCoR. A small number of AOs had not notified CCEA Regulation of a change of company name and/or Responsible Officer in adherence to Condition B1.2. There was little evidence of self-assessment in a number of statements, particularly for the Areas of Enquiry. We also noted confusion in some statements as to who regulated them following CCEA Regulation taking over regulatory responsibilities from Ofqual in May 2016.

5.2 Areas of Enquiry

This report comes at the end of a two-year transition period for AOs to prove activity in Northern Ireland. 90% of AOs provided evidence of activity, the number of centres, learners and certificates awarded. The other 10% cited no activity or a poor uptake of their qualifications; 1 has since withdrawn recognition. We continue to monitor compliance with Condition A1.5 and, should AOs remain inactive, they will be asked to withdraw their recognition.

We found that in relation to Condition G4, Maintaining confidentiality of assessment materials, 59 (59%) provided evidence of having conducted some form of face-to-face meeting with centres in the last 12 months. 29 (29%) provided evidence of remote support and 12 (12%) reported providing no support, mainly due to inactivity in Northern Ireland.

99 (99%) provided at least one quarterly return or a 'nil return' in adherence to Condition E.5. 1 (1%) AO had not made a quarterly return or a 'nil return' and was requested to do so. We will continue to monitor AOs' compliance with E5 Conditions including the requirements for quarterly returns. This, along with a range of other regulatory intelligence, forms the basis of our annual risk assessment and selection for future AO monitoring.

81 (81%) complied with Condition I3.1. Of the other 19 (19%), 8 had no certificates and were inactive and 11 had submitted a sample certificate without the required CCEA Regulation logo. A few were non-compliant as a result of confusion about who their regulator was following CCEA Regulation assuming regulatory responsibilities from Ofqual in Northern Ireland from May 2016. This was reflected in the absence of the appropriate logo on some certificates submitted. We continue to monitor AOs closely and will update our records on confirmation of compliance with Condition I3.1.

Fewer AOs submitted a Statement of Compliance in 2018 than in 2017 and 2016 having made the decision to withdraw recognition in Northern Ireland. This was largely due to a poor uptake of qualifications and the expiry of the transition period in May 2018.

5.3 Monitoring and Scrutiny of Action Plans

CCEA Regulation will continue to monitor the action plans of all AOs that remain non-compliant with the GCoR and follow their progress towards compliance. Should an AO not

secure centres and learners by June 2019 we will be in contact about their recognition status.

Any regulatory intelligence gathered during this process may be used to inform any future scrutiny and monitoring programme associated with an AO, an individual qualification, or a group of qualifications.

CCEA Regulation's Monitoring Strategy follows a process of risk management, monitoring, evaluation and review. Intelligence gained from all our activities, the annual Statement of Compliance review, quarterly returns, accreditation of qualifications and event notification informs our risk assessment and monitoring processes. AOs with a high-risk score will be included annually in a three-year monitoring cycle.

5.4 Statement of Compliance 2019

CCEA's Statement of Compliance monitoring process is designed to encourage all AOs towards compliance with the GCoR. We work closely with fellow regulators Ofqual and QW on a range of regulatory activities to ensure greater co-ordination, accuracy and co-operation.

The submission window for the Statement of Compliance 2019 will be 3 June to 30 September 2019. CCEA Regulation will write to AOs in May to inform them of the requirements for the 2019 Statement of Compliance process.

Appendix 1: Declared Non-Compliance by Section of the GCoR

Summary

| Section of the GCoR | Number of AOs declaring non-compliance | Total number of non-compliances | Breakdown of non-compliances by Condition | |
|---|--|---------------------------------|---|----------------------------|
| | | | Condition | Non-compliances |
| A: Governance | 15 | 28 | A1.5a A1.5b A5 A6 A8 | 5 4 4 6 9 |
| B: The awarding organisation and CCEA Regulation | 5 | 6 | B1 B2 B3 B5 | 1 1 3 1 |
| C: Third parties | 6 | 9 | C1 C2 | 4 5 |
| D: General requirements for regulated qualifications | 2 | 2 | D1 D5 | 1 1 |
| E: Design and development of qualifications | 8 | 16 | E1 E2 E3 E4 E5 E10.2b | 3 1 7 1 3 1 |
| F: Providing qualifications to purchasers | 1 | 1 | F2.2 | 1 |
| G: Setting and delivering the assessment | 4 | 8 | G1 G4 G5 G9 | 2 3 1 2 |
| H: From marking to issuing results | 4 | 8 | H1 H2 H3 H5 H6 | 1 2 2 1 2 |
| I: Appeals and certificates | 6 | 6 | I3.1 I4.1 | 5 1 |

Section A: Governance

This section had the most reported non-compliances. 15 AOs reported a total of 28 non-compliances. The most frequently reported were as follows:

A1.5 An awarding organisation must:

- (a) ensure that, within two years of first being recognised for the award of qualifications, it has submitted to CCEA Regulation for accreditation or directly to the Register a qualification that meets its Conditions of Recognition – **5 non-compliances**.
- (b) take all reasonable steps to ensure that, once it has submitted a qualification that meets its Conditions of Recognition, no two-year period passes in which the AO does not award a qualification in accordance with its Conditions of Recognition – **4 non-compliances**.

A6 Identification and management of risks

Identifying risks

A6.1 An awarding organisation must take all reasonable steps to identify the risk of the occurrence of any incident which could have an Adverse Effect – **2 non-compliances**.

Preventing incidents or mitigating their effect

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

- (a) prevent the incident from occurring or, where it cannot be prevented, reduce the risk of that incident occurring as far as is possible, and
- (b) prevent any Adverse Effect that the incident could have were it to occur or, where it cannot be prevented, mitigate that Adverse Effect as far as possible – **2 non-compliances**.

Preventing malpractice and maladministration

A8.1 An awarding organisation must take all reasonable steps to prevent the occurrence of any malpractice or maladministration in the development, delivery and award of qualifications which it makes available or proposes to make available – **2 non-compliances**.

Procedures relating to malpractice and maladministration

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

- (a) establish and maintain, and at all times comply with, up to date written procedures for the investigation of suspected or alleged malpractice or maladministration, and
- (b) ensure that such investigations are carried out rigorously, effectively, and by persons of appropriate competence who have no personal interest in their outcome – **2 non-compliances**.

Section B: The Awarding Organisation and CCEA Regulation

5 AOs reported a total of 6 non-compliances in Section B. The most frequently reported non-compliance was:

Specific examples of events which could have an Adverse Effect

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

- (a) there is a substantial error in the awarding organisation's assessment materials,
- (b) there has been a loss or theft of, or a breach of confidentiality in, any assessment materials,
- (c) the awarding organisation cannot supply assessment materials for a scheduled assessment date,
- (d) there has been a failure in the delivery of an assessment which threatens Assessors' ability to differentiate accurately and consistently between the levels of attainment demonstrated by Learners,
- (e) the awarding organisation will be unable to meet a published date for the issue of results or the award of a qualification,
- (f) the awarding organisation has issued incorrect results or certificates,
- (g) the awarding organisation believes that there has been an incident of malpractice or maladministration, which could either invalidate the award of a qualification which it makes available or could affect another awarding organisation – **2 non-compliances**.

Section C: Third parties

6 AOs reported 9 non-compliances in Section C. The most frequently reported non-compliances reported were:

C1 Arrangements with third parties

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

- (a) ensure that the arrangements which it establishes with that third party enable the awarding organisation to develop, deliver and award qualifications in accordance with its Conditions of Recognition – **3 non-compliances.**

Condition C2 Arrangements with Centres

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

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

Section D: General requirements for regulated qualifications

2 AOs reported a total of 2 non-compliances in Section D, which were:

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

- (a) Validity,
- (b) Reliability,
- (c) Comparability,
- (d) Manageability, and
- (e) Minimising Bias – **1 non-compliance.**

D6 Compliance of units developed by others with Regulatory Documents

D6.1 An awarding organisation may only make available a qualification which uses a unit or Rule of Combination developed by another person where it reasonably believes that –

- (a) the unit or Rule of Combination complies with the requirements relating to it that are set out in any Regulatory Document, and
- (b) in the development of the unit or Rule of Combination, due regard has been had to the guidelines and principles of good practice set out in any Regulatory Document – **1 non-compliance.**

Section E: Design and development of qualifications

Section E had the second highest reported non-compliances. 8 AOs reported a total of 16 non-compliances. There was no pattern in the responses. The most frequently reported non-compliances were:

E3 Publication of a qualification specification

E3.1 An awarding organisation must, before first making available a particular qualification, publish a specification for that qualification – **2 non-compliances**.

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

- (a) the qualification's objective,
- (b) any other qualification which a Learner must have completed before taking the qualification,
- (c) any prior knowledge, skills or understanding which the Learner is required to have before taking the qualification,
- (d) units which a Learner must have completed before the qualification will be awarded and any optional routes,
- (e) any other requirements which a Learner must have satisfied before the Learner will be assessed or before the qualification will be awarded,
- (f) the knowledge, skills and understanding which will be assessed as part of the qualification (giving a clear indication of their coverage and depth),
- (g) the method of any assessment and any associated requirements relating to it,
- (h) the criteria against which Learners' levels of attainment will be measured (such as assessment criteria or exemplars),
- (i) any specimen assessment materials,
- (j) any specified levels of attainment, and
- (k) where the awarding organisation is required to make such an assignment under General Condition E7 (Total Qualification Time), the number of hours which it has assigned to that qualification for each of Total Qualification Time and Guided Learning.
- (l) any value for credit which it has assigned to that qualification and any Component of that qualification, and
- (m) the level or levels which it has assigned to that qualification and any Component of that qualification – **2 non-compliances**.

E5.2 Before submitting a qualification to the Register in N Ireland, an awarding organisation must –

- (a) on a quarterly basis, submit a list of such qualifications to CCEA Regulation for accreditation – **2 non-compliances**.

Section F: Providing qualifications to purchasers

1 AO reported 1 non-compliance in Section F. The specific non-compliance reported was:

Packages offered without alternative options

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

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

Section G: Setting and delivering the assessment

4 AOs reported a total of 8 non-compliances in Section G. There was no pattern in the responses. The highest frequency of non-compliance reported was:

G1.3 An awarding organisation must produce a written document in relation to an assessment which sets out clear and unambiguous criteria against which Learners' levels of attainment will be differentiated – **2 non-compliances**.

Section H: From marking to issuing results

4 AOs reported 8 non-compliances in Section H. The highest frequency of non-compliance was:

H2.2 An awarding organisation must ensure that any such 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 – **2 non-compliances**.

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

- (c) similar qualifications made available by other awarding organisations, and must use the results of this monitoring to ensure that the specified level of attainment it sets for the qualification will promote consistency in measuring the levels of attainment of Learners over time and between similar qualifications – **2 non-compliances**.

Condition H6 Issuing results

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

- (a) issue results for all units and qualifications,
- (b) publish expected dates or timescales for the issue of those results,
- (c) issue results which are clear and readily capable of being understood by Users of qualifications,
- (d) issue results which accurately and completely reflect the marking of assessments (including the outcome of any Moderation and other quality assurance process),
- (e) ensure that the issue of results is timely, and
- (f) take all reasonable steps to meet any date or timescale it has published for the issue of results – **2 non-compliances.**

Section I: Appeals and certificates

6 AOs reported six non-compliances in Section I. The highest frequency of non-compliance reported was for:

The design of certificates

I3.1 An awarding organisation must ensure that the design of each certificate in relation to a qualification which it makes available complies with the Certificate Requirements which may be published by CCEA Regulation and revised from time to time – **5 non-compliances.**

Section J: Interpretation and definitions

There were no non-compliances declared in Section J.

Appendix 2: The 2018 Statement of Compliance Template



CCEA Regulation Annual Statement of Compliance 2018

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 General Conditions of Recognition published in Dec 2017 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 General 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

The submission window for your statement is **between Friday 1 June and midnight on Friday 28 September 2018**. You must submit your statement during this window



CCEA Regulation Annual Statement of Compliance 2018

Please complete this template to make your annual statement to CCEA Regulation, as required by Condition B2 of the CCEA General Conditions of Recognition (GCoR).

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 GCoR. | |
| We have no cause to believe that we are likely to fail to comply with any of the CCEA GCoR within the next twelve months. | |
| | |
| We are not fully compliant with all of the CCEA GCoR and have indicated such non-compliance in section 2 | |
| We are likely to be non-compliant with some or all of the CCEA GCoR within the next twelve months and have indicated likely non-compliance in section 3 | |

Section 1: 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.

| | |
|--|--|
| Your name (Chair of Governing Body) | |
| Your signature | |
| Your name (Responsible Officer) | |
| Your signature | |
| Awarding Organisation | |
| Date of statement | |

Section 2: Current non-compliance

If you have indicated that you are currently not compliant with some or all of the CCEA GCoR 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 GCoR, 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 2 and/or section 3 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) | 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 |
| | | | | | |

Section 5: Maintaining confidentiality of assessment materials, including the conduct of specified training events (G4)

The CCEA GCoR G4 seeks to ensure the integrity of qualifications is not compromised by an awarding organisation's contacts with centres/teachers in Northern Ireland

G4.2 In particular, an awarding organisation –

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

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: Assurance that qualifications comply with the conditions (E5)

The CCEA GCoR E5 seeks to ensure any qualification offered in N Ireland complies with the requirements of its Conditions of Recognition.

E5.2 Before submitting a qualification to the Register in N Ireland, an awarding organisation must –

- (a) on a quarterly basis, submit a list of such qualifications to CCEA Regulation for accreditation, and
- (b) await an approval accreditation decision before uploading to The Register the availability of the qualification in N Ireland.

If you are not submitting any new or amended qualifications for accreditation, you must make a nil return.

Please complete the table below

| Quarter | Return Made (Please select) | No of Qualifications submitted | No of Qualifications accredited |
|----------------|--------------------------------|-----------------------------------|------------------------------------|
| July – Sept 17 | Yes/No | | |
| Oct – Dec 17 | Yes/No | | |
| Jan – Mar 18 | Yes/No | | |
| Apr – June 18 | Yes/No | | |

Section 7: Awarding Organisation activity (A1.5)

The CCEA GCoR A1.5 states that an awarding organisation must take all reasonable steps to ensure that no two-year period passes in which it does not award a qualification 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.

Please 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 must include all of the following:

- A list of qualification titles (including QAN Number)
- Number of and a list of 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 8: Design of Certificates

The CCEA GCoR I3.1 states that an awarding organisation must ensure that the design of each certificate in relation to a qualification which it makes available complies with the Certificate Requirements which may be published by CCEA Regulation and revised from time to time.

Please provide a copy of your qualification certificate that you award to learners in N Ireland.

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

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Belfast BT1 3BG



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