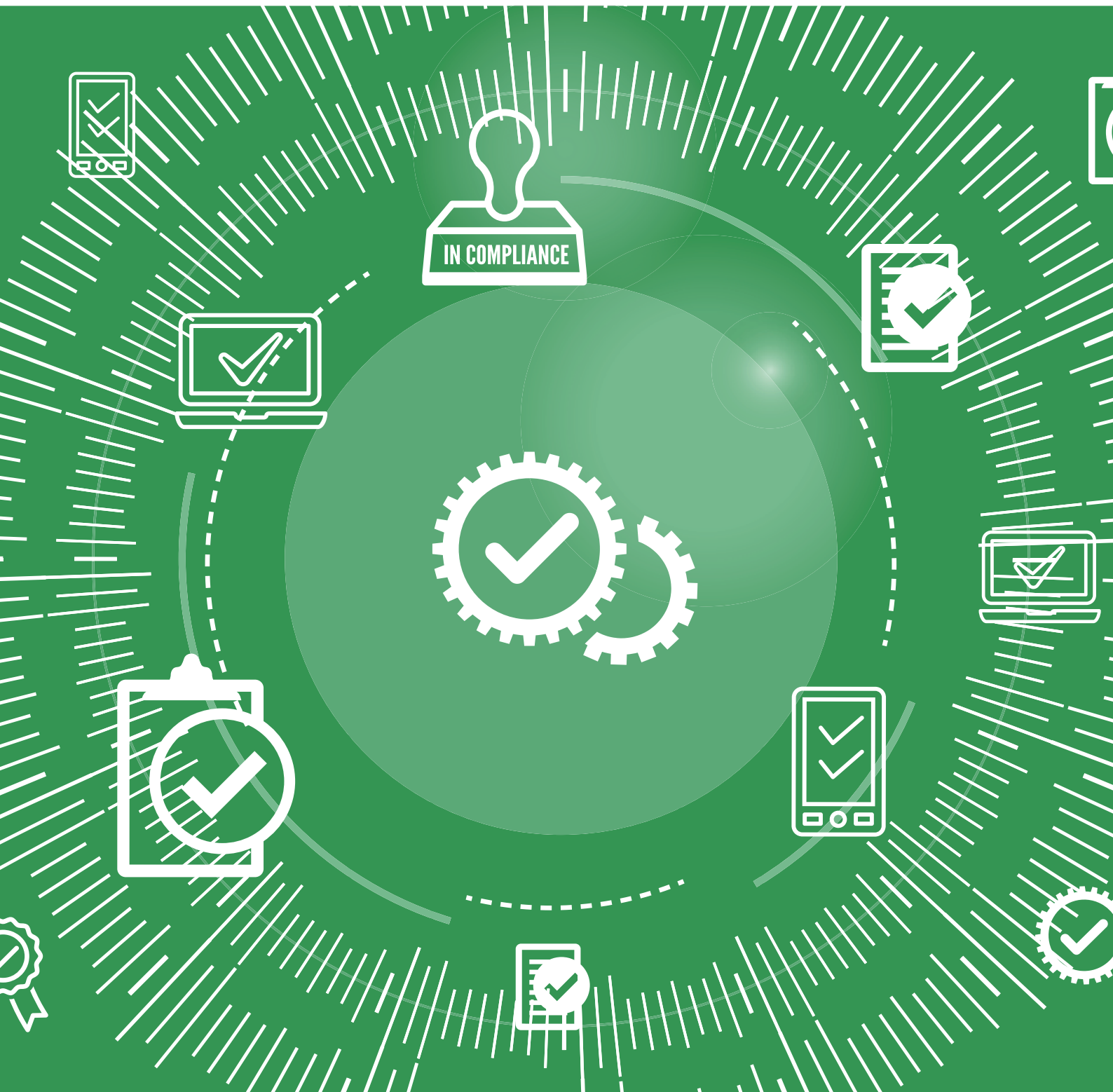


Annual Statement of Compliance Report 2019



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). Sixty-two out of ninety AOs declared current and future compliance with the GCoR by the end of the submission window for 2019 Statements of Compliance on 30 September 2019. Subsequent work resulted in seventy-five out of eighty-nine declaring compliance by 31 January 2020.

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

- Condition B2: The annual statement to CCEA Regulation
- Condition A1.5: Awarding Organisation activity
- Condition D3: Reviewing approach and
- Condition D7: Management of the withdrawal of qualifications.

Fewer AOs submitted a Statement of Compliance in 2019 than in 2018. Ten AOs withdrew recognition during 2018–19, mainly because of a poor uptake of qualifications and the expiry of the transition period. We continue to monitor the action plans for AOs that remain non-compliant with some areas of the GCoR.

Any regulatory intelligence gathered through this process will be used to inform the 2020 AO Monitoring Programme. 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 regulation unit (CCEA Regulation) 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 Regulation 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 Regulation's General Conditions of Recognition (GCoR) April 2019 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 compliance. 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 2019 Annual Statement of Compliance declarations received from AOs offering qualifications in Northern Ireland. It records the monitoring process used to encourage AOs towards compliance with the GCoR and summarises our main findings, conclusions and next steps.

2. Annual Statement of Compliance 2019 Process

CCEA Regulation has produced an Annual Statement of Compliance template since 2012. The annual statement of compliance process requires 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 an AO declares non-compliance, or likely non-compliance, with any of the GCoR, they are asked to submit an action plan outlining how they intend to become compliant.

The Annual Statement of Compliance 2019 template (Appendix 2) focused on the following Areas of Enquiry:

- GCoR B2: The annual statement to CCEA Regulation. Part A: AOs were required to describe the systems, processes, controls and other arrangements which enable them to submit an accurate Statement of Compliance. Part B: AOs were also required to report on how they conducted face-to-face meetings with centres/teachers in Northern Ireland over the previous 12 months in accordance with Condition B2.6.
- GCoR A1.5: Awarding Organisation activity. AOs were required to provide evidence that they had awarded qualifications in Northern Ireland (a) in the previous 12 months or, if not, then (b) in the previous 24 months. They were asked to include the following:
 - a list of qualification titles (including QAN) and the number of certificates awarded for each;
 - the number of centres in Northern Ireland for each qualification;
 - 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 each qualification.
- GCoR D3: Reviewing approach and D7: Management of the withdrawal of qualifications. AOs were required to provide evidence of their plans for the provision of qualifications in Northern Ireland, including any plans for the development of new qualifications or the withdrawal of existing qualifications. Evidence requested included the AO's current qualification 'offer' in Northern Ireland and a summary plan for the development and/or withdrawal of qualifications for the next two years.

3. Declarations

3.1 Summary at 30 September 2019

CCEA Regulation asks AOs annually to confirm compliance with the GCoR. In 2019, we regulated 100 AOs. However, before the 30 September deadline, eight AOs withdrew their recognition. This was mainly due to low uptake of their qualifications by centres and learners in Northern Ireland. We therefore expected to receive 92 Annual Statements of Compliance. We received 87 Annual Statements of Compliance by the 30 September 2019 deadline. Two AOs did not return an Annual Statement of Compliance but, on request, confirmed their withdrawal of recognition, bringing the total number of AOs operating in Northern Ireland to 90. Three AOs submitted a late Statement of Compliance for 2019. Their declarations have been included in the statistics below for compliance as of 30 September 2019.

The statistics provided in this section exclude AO non-compliance with GCoR Condition H2. AOs were informed that CCEA Regulation will not be monitoring actions towards compliance in this area until after we agree how this Condition will be changed alongside and subject to our adoption of the Ofqual consultation on Condition H2. There were 22 declarations of non-compliance with H2, which are not included in this report.

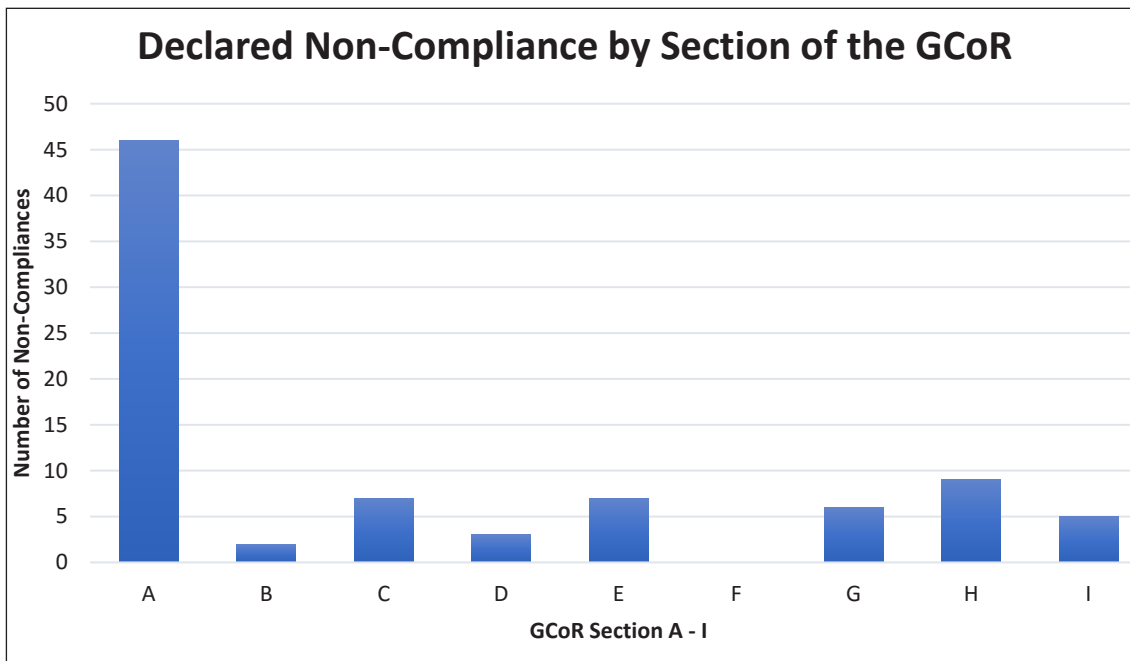
Awarding organisations' declared compliance at 30 September 2019 (including the three late declarations) is as follows:

- 62 (69%) declared current compliance and likely future compliance within the next 12 months.
- 18 (20%) declared current non-compliance and likely future compliance within the next 12 months.
- 2 (2%) declared current compliance but likely to be non-compliant with some or all of the CCEA GCoR within the next 12 months.
- 8 (9%) 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.



3.2 Declared Non-Compliance by Section of the GCoR

CCEA Regulation monitored all AOs that declared non-compliance with the GCoR. We recorded all non-compliance by section, including an analysis of declarations by section where more than one non-compliance was declared for that section by an AO. The section with the highest frequency of non-compliance was Section A: Governance, which accounted for 46 non-compliances. Some of these declarations were within the area of conflicts of interest, which may have been declared as a result of three-country monitoring activities.



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

3.3 Area of Enquiry GCoR B2: The annual statement to CCEA Regulation

Part A

AOs were asked to describe the systems, processes, controls and other arrangements which enable them to submit an accurate statement to CCEA Regulation.

Generally, we received good responses to this Area of Enquiry. 87 AOs (97%) made reference to processes and/or policies they have in place for completing their annual statement. Some areas of good practice and potential areas of improvement are discussed below.

Ongoing self-evaluation

A number of AOs provided evidence of ongoing self-evaluation throughout the year, including reference to the GCoR. The strongest responses had evidence of regular meetings to discuss compliance and develop action plans to address any issues. This demonstrated a clear challenge function in the AO and ensured appropriate evidence was provided against the GCoR.

Internal and external audits

Comprehensive responses referenced audits that took place throughout the year or at least before submitting the annual statement. Some responses had more than one audit throughout the year and/or procured an external independent auditor. A number of AOs

provided evidence of annual audits/reviews to determine their compliance with the GCoR. In these cases, AOs could consider developing processes of ongoing self-evaluation by conducting more than the one annual audit, maintaining risk logs and meeting regularly to review compliance.

Risk logs

A number of AOs provided evidence of maintaining a risk log, which identified any issues that may impact compliance with the GCoR. Action plans were also provided that showed how the AO was addressing the issue.

Approval process

86 AOs (96%) provided evidence of having an appropriate process in place for approving their annual statement. Some responses demonstrated scrutiny of the report from board members before being finalised and signed by the Responsible Officer and Chair. Responses with limited detail referred to the Responsible Officer and Chair having final sign-off only. Four AOs did not provide clear evidence of their approval process.

AOs demonstrating good practice in the areas of self-evaluation, auditing, risk management and the approval process generally returned a more detailed Statement of Compliance. Some AOs have a documented procedure for completing and submitting the annual statement to CCEA Regulation. This was useful as it outlined the entire process in a succinct format and was accompanied by other documentation with more detailed evidence.

Part B

AOs were asked to state how they conducted face-to-face meetings with centres/teachers in Northern Ireland in the previous 12 months.

72 AOs (80%) stated that they carried out face-to-face visits in the previous 12 months. The majority of visits were for audits, external quality assurance and training/support. Responses in this section included detailed explanations of the visits carried out, but it was unclear in some cases if the visits took place on-site or if they were online meetings. Some responses included evidence of multiple visits for external quality assurance, annual training events and audits. A large number of AOs are offering online meetings/webinars in addition to their face-to-face meetings.

18 AOs (20%) did not provide evidence of carrying out face-to-face visits in Northern Ireland over the previous 12 months. Some of these AOs offered online training, webinars and Skype meetings. In some cases, all training/support offered by the AO took place in England. Several AOs stated that they had a low number of centres/learners in Northern Ireland and therefore it wasn't appropriate to offer training in Northern Ireland.

A number of AOs operate a risk rating for their visits, including higher risk-rated centres receiving an on-site visit and lower risk-rated centres receiving a desktop review. In these cases, the AOs explained that lower risk-rated centres would still receive a visit for external verification/audit, but that it may be once every 2/3 years. Often, this was also related to centres currently having Direct Claims Status during this 2019 window for compliance.

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

Condition A1.5 states that an 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 learners have been, or are likely to be, assessed wholly or mainly in Northern Ireland.

84 AOs (93%) provided evidence of awarding certificates to learners based in Northern Ireland over the previous 12 months and/or 24 months. Of the 6 AOs (7%) that had not issued certificates over the previous 24 months:

- 2 have withdrawn or are in the process of withdrawing recognition with CCEA Regulation;
- 2 have recently been recognised by CCEA Regulation and are yet to award their qualifications;
- 1 has registered learners in the process of completing enough units to claim an award; and
- 1 has recently approved a new centre in Northern Ireland and is working towards compliance for Condition A1.5 in 2020.

CCEA Regulation continues to monitor the above AOs for compliance in this area.

Statistical analysis conducted by CCEA Regulation has identified 6593 qualifications currently offered in Northern Ireland that have not been certified between 1 October 2017 and 30 September 2019. These 6593 qualifications are split across 83 AOs (92%) operating in Northern Ireland. This demonstrates that a vast majority of AOs are not accurately declaring compliance with Condition A1.5 and may need to undertake work to update their qualification 'offer' in Northern Ireland as recorded on the Register of Regulated Qualifications.

3.5 Area of Enquiry GCoR D3: Reviewing approach and D7: Management of the withdrawal of qualifications

59 AOs provided evidence of reviewing qualifications. This was mainly based on reviewing their current suite of qualifications and revising appropriately. Some AOs have conducted research and engaged with stakeholders as part of their review of qualification provision. A small number of AOs provided a documented review policy. 31 AOs provided limited or no evidence of reviewing their qualification provision and simply stated their intentions to withdraw or introduce qualifications in the next 24 months. It will be necessary for AOs that have provided no evidence of reviewing qualification for D3.1 to record their non-compliance in this area for the 2020 Statement of Compliance declarations, if applicable.

36 AOs have plans to introduce new qualifications in the next 2 years. While AOs are generally intending to continue offering their qualifications in Northern Ireland, in many cases, they have stated their current review and introduction of new qualifications is not specifically aimed at the Northern Ireland market. A small number of AOs have indicated they hope to or are planning to increase their market in Northern Ireland.

25 AOs have withdrawn or are intending to withdraw some of their qualifications in Northern Ireland. This is for a variety of reasons, including low uptake and refreshing qualifications with a revised specification. In accordance with Condition D7.3, AOs should ensure that CCEA Regulation has reasonable notice of their anticipated withdrawal of a qualification and must do so prior to providing the information to learners, centres or purchasers of the qualification. AOs should not wait until submitting their Annual Statement of Compliance to inform the regulator of their intention to withdraw qualifications.

The statistics provided in Section 3.4 suggest that 92% of AOs have qualifications for offer in Northern Ireland that have not been certified over a two-year period. Therefore, they should consider withdrawing the qualifications from Northern Ireland.

4. Findings

4.1 Review of declared non-compliance by CCEA Regulation 30 September 2019

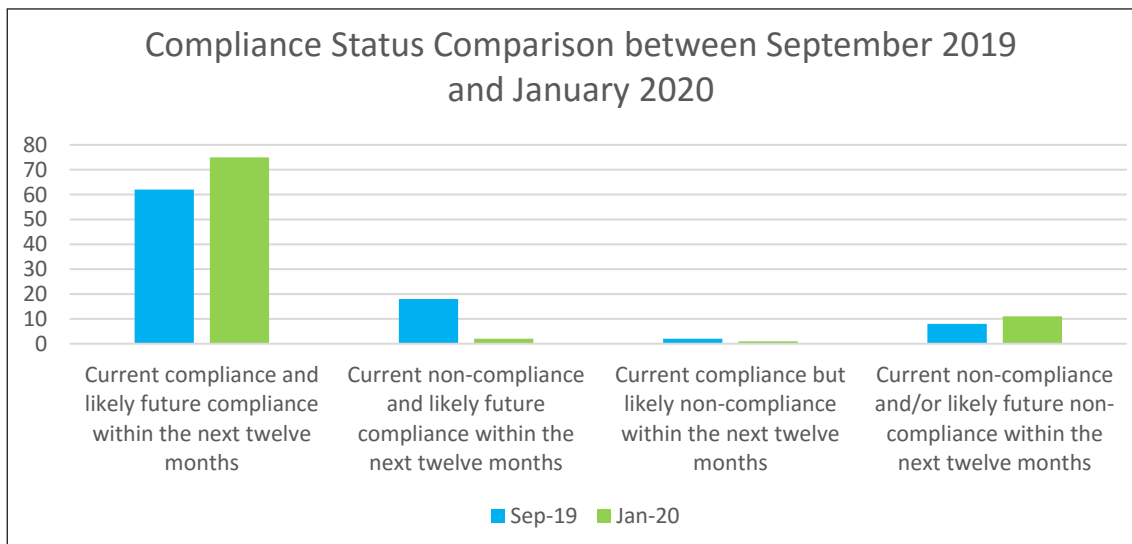
Of the 90 AOs operating in Northern Ireland as of 30 September, 28 declared either current or future non-compliance with some or all of the GCoR. All 28 AOs submitted an action plan to outline how they are addressing these issues of non-compliance.

CCEA Regulation contacted all 28 AOs to request an updated action plan to be submitted by 31 January 2020 to monitor progress. In some cases, we also asked for further details or clarification and offered to meet with AOs to discuss their progress.

4.2 Awarding Organisation Compliance following Review by CCEA Regulation 31 January 2020

The compliance status is as follows:

- 75 AOs (83%) are compliant;
- 13 AOs (14%) are non-compliant, of which:
 - 2 will complete action plans between March and June 2020; and
 - 11 will remain non-compliant and provide an update in their Annual Statement of Compliance for 2020.
- 1 AO is currently compliant but may be non-compliant with Condition A1.5 during 2020, and this AO has an action plan in place to mitigate this; and
- 1 AO has surrendered recognition.



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

96% of CCEA-recognised AOs submitted a Statement of Compliance by the close of the submission window. This was a rise of timely submissions from 93% in 2018. 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.

69% of AOs declared full compliance and future compliance, which was slightly down on 2018. This perhaps reflects greater awareness of non-compliance on some issues, including malpractice, certification inactivity and suitability of assessment, as a result of monitoring projects led by the three regulatory authorities during 2018–19. At the 31 January check, the number of AOs declaring current and future compliance had risen from 69% to 83%, showing significant efforts on AO action plans to move to current compliance and future compliance.

5.2 Areas of Enquiry

Those AOs that provided evidence of continued compliance review, including risk to compliance and more than one annual review meeting, submitted better quality Statements of Compliance returns. These returns included reflective detail on compliance and the Areas of Enquiry. AOs that did not include any evidence for how they carry out the process should consider this in their 2020 return.

AOs will be reviewing their face-to-face visits to Northern Ireland centres as part of their requirement to introduce Centre Assessment Standards Scrutiny (CASS) over the next year and to be compliant by September 2021. Although there is substantial evidence of AO activity in the area, there is some uncertainty over whether some AOs are carrying out face-to-face sessions online and the suitability of this method as the sole method of training and support for centres. CCEA Regulation will be publishing its report on Monitoring of Centre Approval during summer 2020, which has some commonality with this area of compliance and will contain guidance for AOs on good practice and areas for improvement.

Significant numbers of qualifications without an award for a two-year period remain on the Register of Regulated Qualifications as available in Northern Ireland, with over 6.5 thousand across 92% of AOs regulated by CCEA Regulation. AOs should consider their work in this area for 2020, update out-of-date records and also consider declarations of non-compliance to allow for a better understanding of this. CCEA Regulation will be requesting this as part of the 2020 Statement of Compliance request.

AO responses show significant activity in their approach to reviewing qualifications. However, one third of AOs show no evidence of how they review their qualifications. AOs should consider this area of non-compliance or provide further detail in their 2020 Statement of Compliance return. There is significant support for the provision of new/revised qualifications to support the market in Northern Ireland. 40% of AOs plan to introduce new/revised qualifications within the next year, including a smaller number for Northern Ireland specifically.

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. 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 2020

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 three regulators recognise that Awarding Organisations (AOs) and End Point Assessment Organisations (EPAOs) are focusing their efforts on managing significant and complex challenges in light of the issues resulting from Covid-19. As a result, we will be suspending the requirement for AOs and EPAOs to submit their full 2020 Statement of Compliance until further notice.

We may lift the suspension later in the year and might ask you to provide a shorter and more focused statement on areas that will be key to inform our ongoing regulation. In the event that we decide to do this, we will give you advance notice and information about how to make any return before we lift the suspension.

Appendix 1: Declared Non-Compliance by Section of the GCoR at 30 September 2019

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	46	A1.5	2
			A1.5(b)	2
			A4.2	3
			A4.2(a)	1
			A4.2(b)	1
			A4.3	3
			A4.4	3
			A4.5	2
			A4.6	4
			A4.7	4
			A4.8	3
			A5.2(a)	2
			A5.2(b)	1
			A5.2(c)	1
			A5.2(d)	1
			A5.2(e)	3
			A6	1
			A6.1	1
			A6.2	1
			A6.2(a)	1
A7	1			
A7.1(a)	1			
A8	2			
A8.1	1			
A8.2(a)	1			
B: The awarding organisation and CCEA Regulation	2	2	B2	1
			B3	1
C: Third parties	7	7	C1.1(a)	2
			C1.1(b)	2
			C2	1
			C2.3(e)	1
			C3.1(b)	1
D: General requirements for regulated qualifications	3	3	D1	1
			D2.1	1
			D3	1

E: Design and development of qualifications	3	7	E2 E2.3 E3 E3.1 E3.2(k) E3.2(l) E4	1 1 1 1 1 1
F: Providing qualifications to purchasers	0	0	0	0
G: Setting and delivering the assessment	6	6	G1 G4 G4.1 G5 G9	1 1 2 1 1
H: From marking to issuing results	5	9	H1.1(a) H3 H5 H5.1 H6 H6.1(d)	1 1 2 1 2 2
I: Appeals and certificates	4	5	I3.1 I4.1(d) I4.2(b) I4.2(c)	1 1 2 1

Section A: Governance

This section had the most reported non-compliances, as was the case in 2018. 15 AOs reported a total of 46 non-compliances, which is a significant increase from the 28 that were declared in 2018. The most frequently reported were as follows:

Condition A4: Conflicts of Interest

A total of 24 non-compliances were reported for Condition A4. Included in these were:

Identifying conflicts of interest

A4.2 An awarding organisation must identify and monitor –

- (a) all conflicts of interest which relate to it, and
- (b) any scenario in which it is reasonably foreseeable that any such conflict of interest will arise in the future.

A total of 3 non-compliances were reported for A4.2.

A4.3 An awarding organisation must establish and maintain an up to date record of all conflicts of interest which relate to it – **3 non-compliances.**

Managing conflicts of interest

A4.4 An awarding organisation must take all reasonable steps to ensure that no conflict of interest which relates to it has an Adverse Effect – **3 non-compliances.**

Interests in assessment

A4.6 An awarding organisation must take all reasonable steps to avoid any part of the assessment of a Learner (including by way of Moderation) being undertaken by any person who has a personal interest in the result of the assessment – **4 non-compliances.**

A4.7 Where, having taken all such reasonable steps, an assessment by such a person cannot be avoided, the awarding organisation must make arrangements for the relevant part of the assessment to be subject to scrutiny by another person – **4 non-compliances.**

The written conflict of interest policy

A4.8 An awarding organisation must establish, maintain, and at all times comply with an up to date written conflict of interest policy, which must include procedures on how the awarding organisation intends to comply with the requirements of this condition – **3 non-compliances.**

Condition A5: Availability of adequate resources and arrangements

A total of 8 non-compliances were reported for Condition A5.2.

Ensuring the ability to develop, deliver and award qualifications

A5.2 For these purposes, an awarding organisation must establish and maintain –

- (a) arrangements which will ensure that it retains at all times a Workforce of appropriate size and competence – **2 non-compliances.**
- (b) arrangements for the retention of data which will ensure that adequate information is available to it at all times – **1 non-compliance.**

- (c) arrangements which will ensure that sufficient technical equipment and support is available to it at all times – **1 non-compliance.**
- (d) appropriate management resources – **1 non-compliance.**
- (e) appropriate systems of planning and internal control – **3 non-compliances.**

Section B: The Awarding Organisation and CCEA Regulation

There were a total of 2 non-compliances reported in this section. In addition, 3 AOs submitted a late statement.

Condition B2: The annual statement to CCEA Regulation

- B2.1 An awarding organisation must provide to CCEA Regulation an annual statement in accordance with this condition.
- B2.2 The statement must specify either –
- (a) that the awarding organisation is fully compliant with its Conditions of Recognition at the date of the statement, or
 - (b) that it is not so compliant, in which case the statement must describe each instance of non-compliance and the date by which the awarding organisation expects to rectify the failure.
- B2.3 The statement must also specify either –
- (a) that the awarding organisation has no cause to believe that it will be likely to fail to comply with any of its Conditions of Recognition during the period of twelve months immediately following the date of the statement, or
 - (b) that it does have such a cause for belief, in which case the statement must describe each instance of potential non-compliance, the grounds for believing it to be likely to occur, and the steps being taken by the awarding organisation in relation to it.
- B2.4 The statement must be accurate, formally approved by the Governing Body of the awarding organisation, and signed by the chair of the Governing Body and the responsible officer.
- B2.5 The statement must be made in any form and on any date as may be notified to the awarding organisation by CCEA Regulation.
- B2.6 The statement must include a report on how the awarding organisations conducted face to face meetings with centres/teachers in Northern Ireland in the previous 12 months.

1 AO reported 1 non-compliance for Condition B2.

Condition B3: Notification to CCEA Regulation of certain events

Notification where an event could have an Adverse Effect

- B3.1 An awarding organisation must promptly notify CCEA Regulation when it has cause to believe that any event has occurred or is likely to occur which could have an Adverse Effect.

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,
- (h) the awarding organisation has (for any reason, whether inside or outside its control) incurred an increase in costs which it anticipates will result in an increase in its fees of significantly more than the rate of inflation,
- (i) the awarding organisation is named as a party in any criminal or civil proceedings or is subjected to a regulatory investigation or sanction by any professional, regulatory, or government body, or
- (j) a Senior Officer of the awarding organisation is a party to criminal proceedings (other than minor driving offences), is subject to any action for disqualification as a company director, or is subject to disciplinary proceedings by any professional, regulatory, or government body.

Notification of specified events in all cases

B3.3 An awarding organisation must promptly notify CCEA Regulation if it is, or if it has cause to believe that it is likely to be, subject to –

- (a) a material change in its governance structure or legal status,
- (b) a change of control,
- (c) a merger between it and another body, or
- (d) any insolvency or bankruptcy proceedings.

B3.4 An awarding organisation must promptly notify CCEA Regulation if it proposes to make available a qualification which is substantially different in type or content to any which it has previously made available.

Further requirements on the timing of notifications

B3.5 When it notifies CCEA Regulation of an event in accordance with this condition, or as soon as possible afterward, an awarding organisation must also notify CCEA Regulation of any steps that it has taken or intends to take to prevent the event having an Adverse Effect or to correct or mitigate that Adverse Effect if it occurs.

B3.6 An awarding organisation must not delay making a notification to CCEA Regulation in accordance with this condition because relevant information is unavailable, but must notify based on all the information that it has and provide further information to CCEA Regulation once it becomes available.

1 AO reported 1 non-compliance for Condition B3

Section C: Third parties

There were a total of 7 non-compliances reported in this section. The most frequently reported non-compliances were:

- 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 – **2 non-compliances.**
 - (b) monitor and, where appropriate, enforce such arrangements so as to ensure that it is able to develop, deliver and award qualifications in accordance with its Conditions of Recognition – **2 non-compliances.**

Section D: General requirements for regulated qualifications

There were a total of 3 non-compliances reported in this section.

Condition D1: Fitness for purpose of qualifications

- D1.1 An awarding organisation must ensure that each qualification which it makes available is fit for purpose.
- 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.
- D1.3 In any case where there is a conflict between two or more of these requirements, an awarding organisation must secure that it achieves a balance between those requirements that –
- (a) ensures its compliance with its Conditions of Recognition, and
 - (b) is objectively the optimum balance in relation to the particular qualification.

1 non-compliance was reported for Condition D1.

Condition D2: Accessibility of qualifications

- D2.1 An awarding organisation must ensure that it complies with the requirements of Equalities Law in relation to each of the qualifications which it makes available – **1 non-compliance.**

Condition D3: Reviewing approach

Review of approach

- D3.1 An awarding organisation must keep under review, and must enhance where necessary, its approach to the development, delivery and award of qualifications, so as to assure itself that its approach remains at all times appropriate.

Evidence to inform approach

- D3.2 An awarding organisation must –
- (a) have due regard to all information, comments and complaints received from Users of qualifications in relation to the development, delivery and award of qualifications, and
 - (b) identify and give due regard to any credible evidence which suggests that a change in its approach to the development, delivery and award of qualifications is required in order to ensure that the approach remains appropriate.
- D3.3 Where an event relating to an awarding organisation (or an event, of which it is or should be aware, relating to any other awarding organisation) has had an Adverse

Effect, the awarding organisation must review and revise where necessary its approach to the development, delivery and award of qualifications to ensure that its approach remains appropriate.

1 non-compliance was reported for Condition D3.

Section E: Design and development of qualifications

5 AOs reported a total of 7 non-compliances in this section.

Condition E2: Requirements on qualification titling

- E2.1 An awarding organisation must ensure that the title on the Register of any qualification which it makes available includes the following information –
- (a) the name of the awarding organisation,
 - (b) the level of the qualification,
 - (c) the type of qualification (where the qualification has a type),
 - (d) a concise indication of the content of the qualification, and
 - (e) any Endorsement known at the time the qualification is submitted to the Register.
- E2.2 An awarding organisation must, in addition –
- (a) ensure that the title on the Register reflects the knowledge, skills and understanding which will be assessed as part of the qualification, and
 - (b) take all reasonable steps to ensure that the title allows Users of qualifications to identify similar units or qualifications which it makes available or are made available by other awarding organisations.
- E2.3 An awarding organisation must ensure that each qualification which it makes available, or proposes to make available, has a title which it uses consistently in its advertising and in its communications with Users of qualifications.
- E2.4 An awarding organisation must ensure that the titles of qualifications which it makes available, or proposes to make available, are not misleading to Users of qualifications.
- E2.5 An awarding organisation must ensure that it amends the title on the Register for a qualification which it makes available when it makes any revision to a level assigned to that qualification.

There were a total of 2 non-compliances reported for Condition E2, with 1 specifically for Condition E2.3.

Section F: Providing qualifications to purchasers

There were no non-compliances reported in this section.

Section G: Setting and delivering the assessment

There were a total of 6 non-compliances reported in this section. The most frequently reported non-compliances were for Condition G4.

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

G4.1 Where confidentiality in –

- (a) the contents of assessment materials, or
- (b) information about the assessment,

is required in order to ensure that a qualification which an awarding organisation makes available, or proposes to make available, reflects an accurate measure of attainment, the awarding organisation must take all reasonable steps to ensure that such confidentiality is maintained.

G4.2 In particular, an awarding organisation 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.

G4.3 An awarding organisation must in respect of any training it provides to Teachers in relation to such a qualification (and, in relation to any such training provided by any person connected to it, must take all reasonable steps to) –

- (a) ensure that the training is reasonably available to all Teachers preparing Learners, or persons likely to become Learners, for assessments for that qualification,
- (b) advertise to Teachers the availability of the training, including in particular by publishing details of the training, and
- (c) publish the content of any training materials which have been provided to Teachers in connection with the training, as soon as reasonably practicable after the training has been held.

G4.4 An awarding organisation must take all reasonable steps to ensure that –

- (a) no person connected to it, or previously connected to it, and
- (b) in particular, no teacher or other third party who has had access to assessment materials,
offers to disclose, information about the assessment of the content of any assessment materials where that information is (or is said or implied to be) confidential.

G4.5 Where any breach of such confidentiality (including through the loss or theft of confidential assessment materials) is either suspected by an awarding organisation or alleged by any other person and where there are reasonable grounds for that suspicion or allegation, the awarding organisation must:

- (a) investigate that breach,
- (b) ensure that such an investigation is carried out rigorously, effectively, and by persons of appropriate competence who have no personal interest in its outcome, and

- (c) so far as possible, establish whether or not a breach of such confidentiality has occurred.

There were a total of 3 non-compliances reported for this Condition, with 2 specifically for Condition G4.1.

Section H: From marking to issuing results

5 AOs reported 9 non-compliances in this section. The most frequently reported non-compliances were for Conditions H5 and H6.

Condition H5: Results for a qualification must be based on sufficient evidence

- H5.1 An awarding organisation must ensure that the result of each assessment taken by a Learner in relation to a qualification which the awarding organisation makes available reflects the level of attainment demonstrated by that Learner in the assessment.
- H5.2 An awarding organisation must ensure that –
 - (a) the marking of an assessment in relation to, and
 - (b) the awarding of;
a qualification which it makes available takes into account all admissible evidence generated by a Learner as part of that assessment.
- H5.3 Where an awarding organisation sets a rule as to the quantity or type of evidence generated by Learners which will be admissible in an assessment, it must ensure that –
 - (a) the assessment makes the rule clear, and
 - (b) the rule is applied to all Learners taking the assessment (other than where any Reasonable Adjustments or Special Consideration require it to be altered).
- H5.4 Where an awarding organisation sets a rule as to how the final mark for a qualification will be calculated from marks for different assessments, it must ensure that –
 - (a) the qualification makes the rule clear, and
 - (b) the rule is applied to all Learners taking the qualification (other than where any Reasonable Adjustments or Special Consideration require it to be altered).

There were a total of 3 non-compliances reported for Condition H5, with 1 specifically for Condition H5.1.

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.

There were a total of 4 non-compliances reported for Condition H6, with 2 specifically for H6.1(d).

Section I: Appeals and certificates

There were a total of 5 non-compliances reported in this section. The most frequently reported non-compliances were for Condition I4.

Condition I4: Issuing certificates and replacement certificates

- I4.1 An awarding organisation must, in relation to qualifications which it makes available –
- (a) publish the expected dates or timescales for the issue of certificates,
 - (b) ensure that the issue of certificates is timely,
 - (c) issue only certificates which are clear and readily capable of being understood by Users of qualifications,
 - (d) issue only certificates which are accurate and complete and which reflect accurate and complete results – 1 non-compliance.
 - (e) maintain a record of all certificates and replacement certificates which it issues, and
 - (f) not include a qualification which is not a regulated qualification on a certificate which contains regulated qualifications.
- I4.2 An awarding organisation must take all reasonable steps, including having procedures in place, to ensure that it –
- (a) issues a certificate and any replacement certificate to any Learner who has a valid entitlement to that certificate or replacement certificate,
 - (b) does not issue any certificate to a Learner who does not have a valid entitlement to that certificate – 2 non-compliances.
 - (c) revokes any certificate if the result on the certificate is false because of malpractice, maladministration, or is revealed to be inaccurate as a consequence of an appeals process – 1 non-compliance.
 - (d) meets any date or timescale published by it in respect of the issue of certificates and replacement certificates.

Appendix 2: The 2019 Statement of Compliance Template



CCEA Regulation Annual Statement of Compliance 2019

The Council for Curriculum, Examinations and Assessment (CCEA) has responsibility for the regulation of qualifications in NI. Working independently from CCEA Awarding Organisation, CCEA Regulation is responsible for the accreditation and quality assurance of all qualifications offered in NI, 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 Regulation General Conditions of Recognition April 2019 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 Monday 3 June and midnight on Monday 30 September 2019**. You must submit your statement during this window.



CCEA Regulation Annual Statement of Compliance 2019

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: The annual Statement to CCEA Regulation

The CCEA Regulation GCoR B2 seeks to ensure that Awarding Organisations submit an annual statement in accordance with this Condition, including B2.6. The statement must include a report on how the Awarding Organisation conducted face to face meetings with centres/teachers in NI in the previous 12 months.

Part A

Describe your systems, processes, controls, and other arrangements which enable you to submit an accurate statement.

You should describe:

- your process for completing, reviewing and approving your statement, including the steps you take to ensure its accuracy
- how you objectively and critically evaluate your levels of compliance, including details of your self-evaluation process and internal audit activity
- details of the formal approval process conducted for your statement

You may wish to include:

- written policies/procedures outlining your approach to completing, reviewing and approving your statement*
- a self-evaluation report and/or internal audit outcomes*
- minutes of meetings showing when your SoC was approved*

AO Response:

Part B

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

AO Response:

Section 6: Awarding Organisation activity (A1.5)

The CCEA Regulation 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 NI. A qualification is awarded in NI if there are learners who have been, or are likely to be, assessed wholly or mainly in NI.

Please provide evidence that you have awarded qualifications in NI:

- 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) and the number of certificates awarded for each
- Number of centres in NI for each qualification
- Total number of certificates awarded in NI in each of the previous two years
- Number of NI learners currently registered on or working towards each qualification

AO Response:

Section 7: Plans for qualification provision in NI

The CCEA Regulation GCoR D3.1 states that, an awarding organisation must keep under review and must enhance where necessary, its approach to the development, delivery and award of qualifications so as to ensure itself that its approach remains at all times appropriate'. GCoR D7 places conditions on the withdrawal of qualifications and, in particular D7.2 states, where an awarding organisation intends to withdraw, otherwise believes it is likely that it will withdraw, or is obliged to withdraw a qualification, it must take all reasonable steps to protect the interests of Learners in relation to that qualification', and D7.3, an awarding organisation must give to CCEA Regulation reasonable notice of its anticipated withdrawal of a qualification and must do so prior to the time at which it provides that information to any Learners, Centres, or purchasers of qualifications'.

Please provide evidence of your plans for the provision of qualifications in NI including any plans for the development of new qualifications or the withdrawal of existing qualifications.

*Your evidence **must** include the following:*

- *Your current qualification 'offer' in NI*
- *A summary plan for the development and/or withdrawal of qualifications for the next two years.*

AO Response:

Section 8 Documentation and evidence

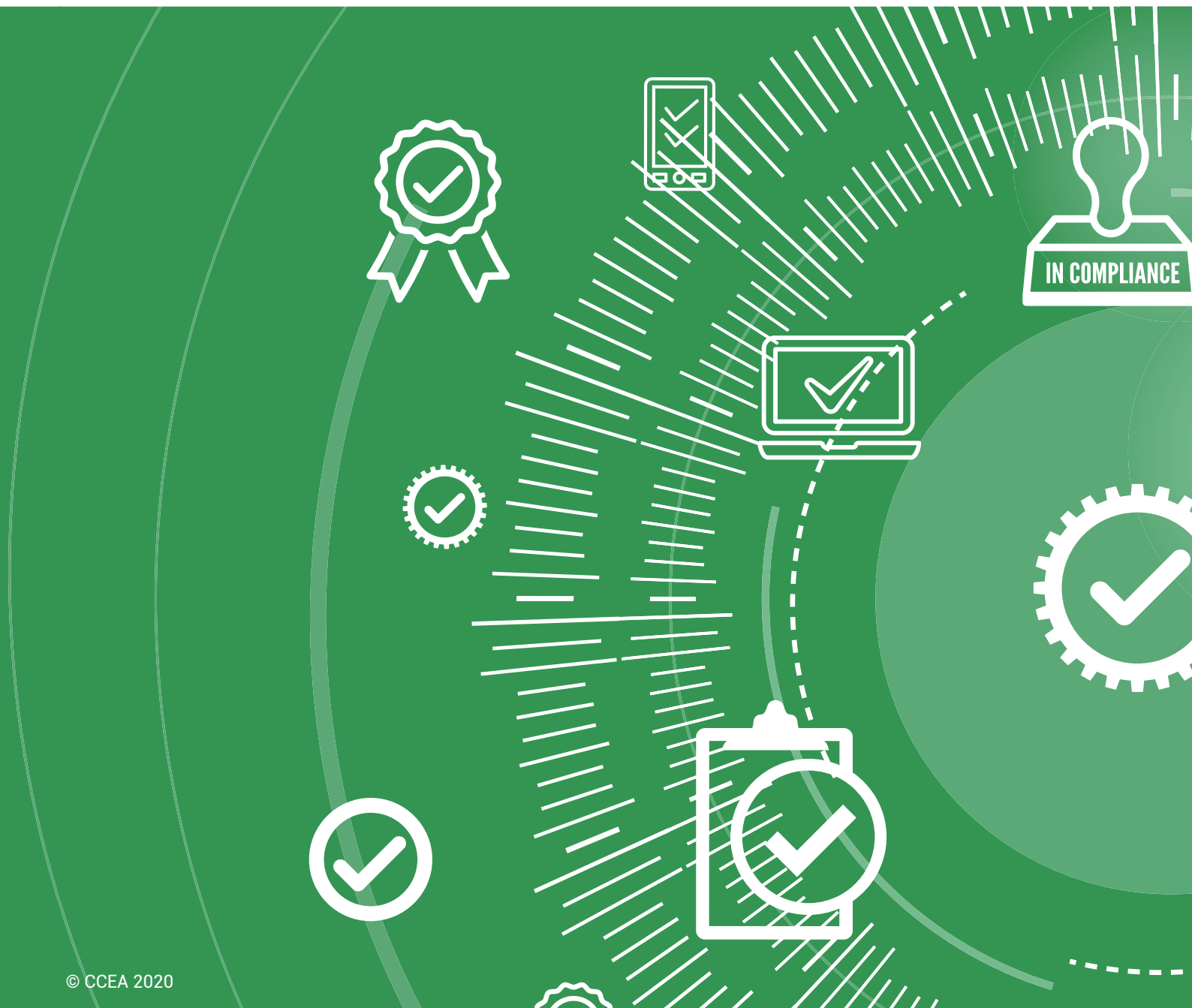
This section is for you to record any documentation and evidence that you are submitting to CCEA Regulation to support your statement.

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)

For further information please contact:

CCEA Regulation Team,
29 Clarendon Road,
Clarendon Dock,
Belfast BT1 3BG



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