



Annual Statement of Compliance Report 2017

CCEA Regulation

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1. Introduction

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

Condition B2 of CCEA's General Conditions of Recognition May 2017 (GCOR) requires all recognised awarding organisations (AOs) to submit an Annual Statement of Compliance (SoC) to CCEA Regulation. This Annual Statement provides assurance of the awarding organisation's compliance with the GCOR. All recognised awarding organisations are subject to the GCOR and are required to show evidence of how they are compliant.

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

This report details how CCEA Regulation reviewed the 2017 Annual Statement of Compliance received from awarding organisations that offer qualifications in Northern Ireland. It also summarises the main findings and next steps.

2 Annual Statement of Compliance 2017 Process

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

The Annual Statement of Compliance 2017 template (see Appendix) focused on the following:

- GCOR G4 - Maintaining confidentiality of assessment materials, including the conduct of specified training events. Awarding organisations were required to detail how they conducted face to face meetings with centres/teachers in Northern Ireland in the previous twelve months and to explain why, if they had not held meetings in the past twelve months - GCOR B2.6.
- GCOR E5.2 - Assurance that qualifications comply with the conditions. Before submitting a qualification to the Register for offer in Northern Ireland, an awarding organisation must submit a list of qualifications it intends to upload to the Register on a quarterly basis. They must make a nil return even if they have no qualifications to upload that quarter. 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. Awarding organisations were required to detail quarterly returns made and the number of qualifications subject to an accreditation requirement.
- GCOR A1.5 - Awarding Organisation activity. Awarding organisations were required to provide evidence that they had awarded qualifications in Northern Ireland in the previous

twelve months, or if not, the previous twenty four 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.

3. Declarations

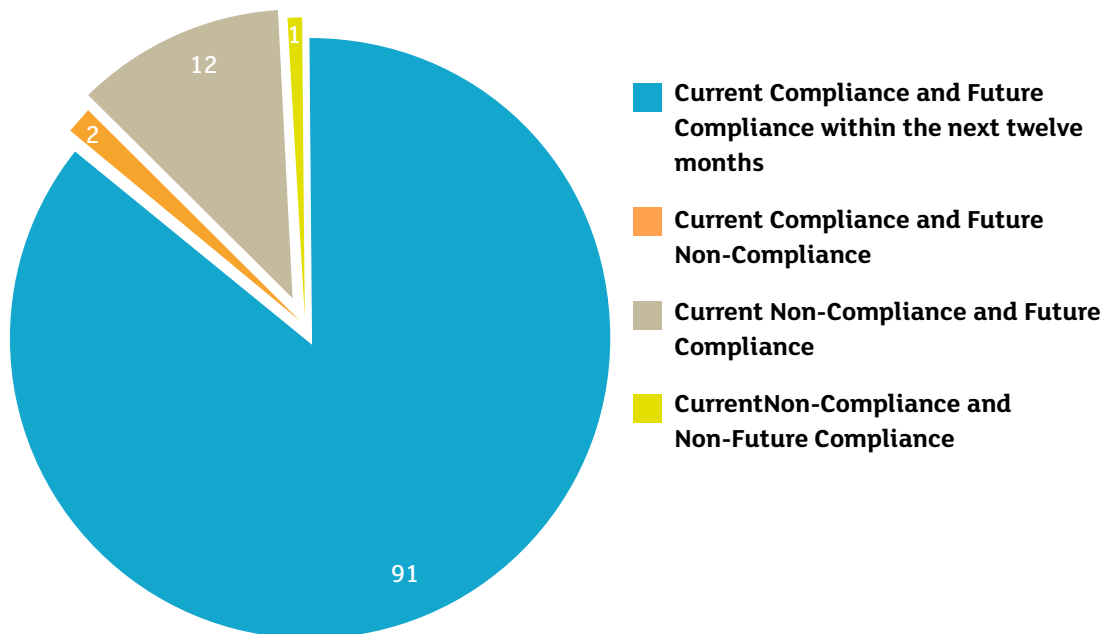
3.1 Summary at 30 September 2017

CCEA Regulation asks awarding organisations annually to confirm compliance with the GCOR. CCEA Regulation had received 106 Annual Statements of Compliance on this date.

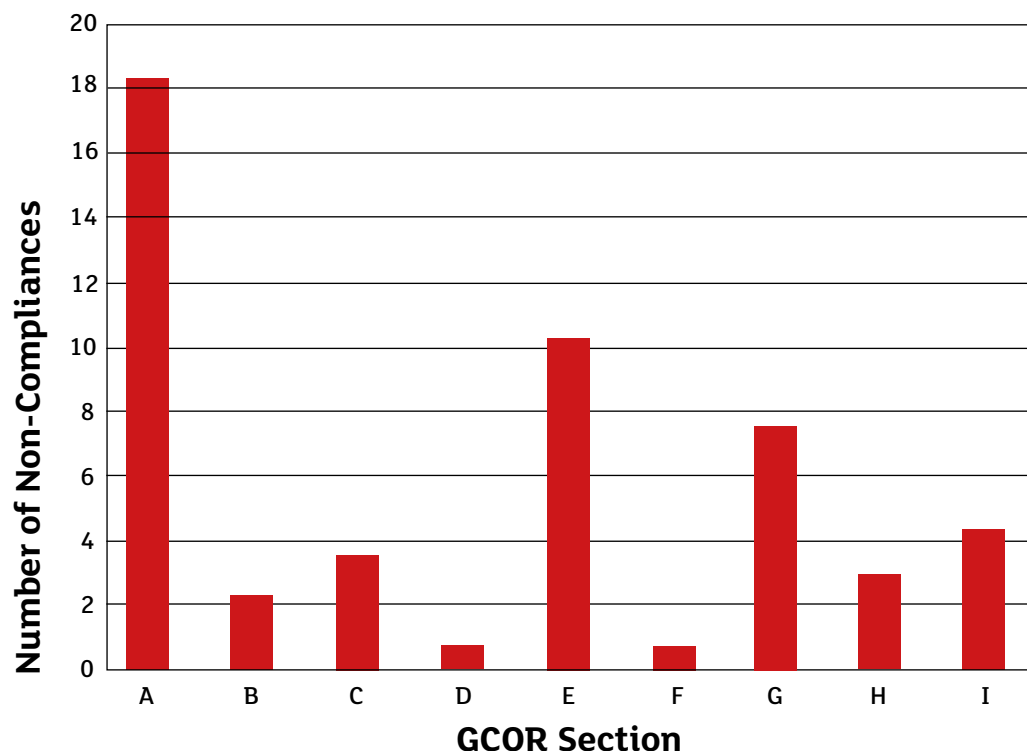
The awarding organisations confirmed their compliance as follows:

- 91 declared current compliance and future compliance
- 2 declared current compliance and future non-compliance (but also expect to be compliant within the next twelve months)
- 12 declared current non-compliance and future compliance within the next twelve months
- 1 declared current non-compliance and future non-compliance (but is working towards compliance within the next twelve months)

Awarding Organisations Declared Compliance at 30 September 2017



3.2 Declared Non-Compliance by Section of the GCOR



Section A: Governance

This section had the most reported non-compliances. Nine awarding organisations reported non-compliance in section A. The main areas related to the - Availability of adequate resources and arrangements (GCOR A5) - ensuring the ability to develop, deliver and award qualifications, and the - Identification and management of risks (GCOR A6) - Identifying risks, Preventing incidents or mitigating their effect, Contingency plan.

Specific non-compliances reported were:

- not taking all reasonable steps to ensure that no two-year period passes in which the awarding organisation does not award a qualification in Northern Ireland (GCOR A1.5b);
- not ensuring the capacity to undertake the development, delivery and award of qualifications which it makes available in accordance with its GCOR of Recognition (GCOR A5.1b);
- not ensuring it has arrangements in place for the retention of data which will ensure that adequate information is available at all times (GCOR A5.2b);
- not having sufficient technical equipment and support available (GCOR A5.2c);
- not having appropriate systems of planning and internal control (GCOR A5.2e);
- not adequately planning any new developments or allocating sufficient resources to ensure that such developments are effectively introduced (GCOR A5.3b);
- not identifying and managing the risk of any incident that could cause an adverse effect (GCOR A6.1);
- not taking all reasonable steps to prevent or reduce the risk of the incident occurring (GCOR A6.2a);
- not establishing and maintaining, an up to date written, contingency plan (GCOR A6.3)

- of sufficient detail and quality to mitigate the adverse effect of any incident as having a risk of occurring (GCOR A6.4); and
- not taking all reasonable steps to prevent the occurrence of any malpractice or maladministration in the development, delivery and award of qualifications (GCOR A8.1).

Section B: The Awarding Organisation and CCEA Regulation

Two awarding organisations reported non-compliance in Section B - the role of the responsible officer. Specific non-compliances reported were:

- not notifying CCEA Regulation of certain events (GCOR B3);
- not adhering to the condition that an awarding organisation must not (and must take all reasonable steps to ensure that any person connected with it does not) make any statement that would be likely to lead users of qualifications to believe that a qualification it makes available is a regulated qualification when it is not a regulated qualification (GCOR B5.1); and
- not adhering to the condition that an awarding organization must not (and take all reasonable steps to ensure that any person connected with it does not) advertise or promote its qualifications in a manner that is likely to be misleading to Users of qualifications (GCOR B5.2).

Section C: Third parties

Three awarding organisations reported non-compliance in Section C. Specific non-compliances reported were:

- not ensuring that the arrangements which it establishes with a third party enable the awarding organisation to develop, deliver and award qualifications in accordance with its GCOR (GCOR C1);
- where a Centre undertakes any part of the delivery of a qualification on behalf of an awarding organisation, not ensuring this applies, in addition to the requirements in GCOR C1 (GCOR C2.1);
- not ensuring where this condition applies, that arrangements between it and the Centre include a written and enforceable agreement (GCOR C2.2); and
- not ensuring that agreement includes a range of provisions relating to Arrangements with Centres detailed in GCOR C2.3.

Section D: General requirements for regulated qualifications

One awarding organisation reported non-compliance in Section D. The specific non-compliance reported was:

- not ensuring compliance of units developed by others with Regulatory Documents (GCOR D6).

Section E: Design and development of qualifications

This section had the second most frequently identified declarations of non-compliance. Four

awarding organisations reported non-compliances in this area. Specific non-compliances reported were:

- not ensuring that all qualifications have an objective and support (GCOR E1);
- not ensuring all requirements on qualification titling (GCOR E2);
- not ensuring that each qualification has a title which it uses consistently (GCOR E2.3);
- not ensuring that the titles of qualifications are not misleading to users of qualifications (GCOR E2.4);
- not publishing a qualification specification before making available a particular qualification (GCOR E3);
- not assigning to that qualification a number of hours for Total Qualification Time (GCOR E7);
- not assigning a value of Credit to a qualification, or a component of a qualification, which it makes available (GCOR E8); and
- not assigning one or more levels to each qualification (GCOR E9).

Section F: Providing qualifications to purchasers

One awarding organisation reported non-compliance in Section F. The specific non-compliance reported related to the packaging of qualifications with other products and services (GCOR F2).

Section G: Setting and delivering the assessment

Three awarding organisations reported non-compliance in Section G. The key non-compliances reported were:

- not ensuring that the content of the assessment is fit for purpose (GCOR G1.1a);
- not ensuring that assessments use only appropriate language and stimulus materials, and are clear and unambiguous, unless ambiguity forms part of the assessment, (GCOR G3.2c);
- not maintaining confidentiality of assessment materials including the conduct of specified training events (GCOR G4);
- not ensuring that every assessment for a qualification is delivered effectively and efficiently (GCOR G9.1);and
- not ensuring that on delivery of every assessment for a qualification that it makes available it allows each Learner to generate evidence which can be authenticated (GCOR G9.2c).

Section H: From marking to issuing results

Three awarding organisations reported non-compliance with the GCOR in Section H. The key non-compliances reported were:

- before setting a specified level of attainment which it makes available, not reviewing the specified levels of attainment set for similar qualifications made available by other awarding organisations and not using the results of this monitoring to ensure consistency in measuring levels of attainment of Learners over time and in similar qualifications (GCOR H3.1c);

- not ensuring that the marking of an assessment takes into account all admissible evidence (GCOR H5.2); and
- not issuing results that accurately and completely reflect the marking of assessments (including the outcome of any moderation and other quality assurance process) (GCOR H6.1d).

Section I: Appeals and certificates

Two awarding organisations reported non-compliance with the GCOR in Section I. The key non-compliances reported were:

- not establishing, maintaining and complying with an appeals process in relation to all qualifications which it makes available, which must provide for the appeal of - (a) the results of assessments (GCOR I1.1a), (b) decisions regarding Reasonable Adjustments and Special Consideration (GCOR I1.1b), and (c) decisions relating to any actions to be taken against a Learner or a Centre following an investigation into malpractice or maladministration (GCOR I1.1c);
- not providing for the effective appeal of results and not applying procedures consistently, properly and fairly (GCOR I1.2a); and
- not ensuring that all certificates which it issues clearly display the title of the qualification as it appears on the Register (and any Endorsement known after the qualification is submitted to the Register) and do not include any other title for the qualification (GCOR I3.2b).

Section J: Interpretation and definitions

No awarding organisation identified non-compliance with GCOR in Section J: Interpretation and definitions.

3.3 GCOR G4

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

Awarding organisations were asked to show how they had conducted face to face meetings with centres/teachers the previous 12 months to ensure the integrity of qualifications is not compromised by their contacts with centres/teachers in Northern Ireland.

- 65 stated they had conducted face-to-face meetings in the previous 12 months
- 31 stated they had offered some form of alternative support, namely - remote moderation, e-meeting, webinar, email, video conferencing, telephone or Skype, and regional training to trainers from Northern Ireland
- 10 reported having a small, or declining number of learners, as the reason for not having face to face meetings.

3.4 GCOR E5.2

Assurance that qualifications comply with the conditions

Awarding organisations were asked to provide details of having made quarterly returns including nil returns, as well as details of any qualifications subject to accreditation.

- 103 had made 1 or more quarterly return in the previous 12 months
- 3 had never made any quarterly return.

3.5 GCOR A1.5

Awarding Organisation activity

In May 2016, as a result of changes to regulation, CCEA Regulation accepted the Ofqual recognition status of awarding organisations and allowed awarding organisations two years to become active. Awarding organisations reported their activity in Northern Ireland as follows:

- 82 had active centres, 19 had no active centres, 4 did not complete and 1 stated 'not applicable'
- 90 provided the number of certificates they had awarded, 12 declared they had awarded no certificates and 4 did not complete;
- 73 provided information about registrations during the last 12 to 24 months, 29 declared no registrations, 3 reported that registrations were conducted by centres only and 1 did not complete.

3.6 Documentation and evidence

The Annual Statement of Compliance 2017 provided the option to submit any evidence to support their statement. Thirty awarding organisations chose to submit supporting documentation.

4. FINDINGS

4.1 Awarding Organisation compliance following review by CCEA Regulation

106 awarding organisations had submitted Annual Statements of Compliance by 30 September 2017. 91 declared current compliance and future compliance. CCEA Regulation found that only 81 were compliant with GCOR on this date. The additional 10 awarding organisations were found to be non-compliant in some or all of the following areas:

- had made no quarterly return as per Condition E5.2
- had submitted their return on the 2016 Statement of Compliance template
- had no active centres in Northern Ireland

The 25 non-complaint awarding organisations were asked to submit and update their action plans, record progress made towards compliance and return to CCEA Regulation by 31 January 2018.

4.2 Summary of Findings at 31 January 2018

One awarding organisation was granted an extension and submitted their Annual Statement of Compliance in December 2017. As a result CCEA Regulation received a total of 107 Annual Statements of Compliance. The compliance status of all 107 awarding organisations on this date is as follows:

- 89 have declared compliance;
- 17 have been asked to provide a further update on their progress towards compliance
- 1 has surrendered recognition.

5. NEXT STEPS

5.1 Action Plans

CCEA Regulation will continue to monitor awarding organisations action plans and to follow progress towards compliance. This information will also be used to help to inform any future scrutiny and monitoring programme associated with any awarding organisation or with an individual qualification or a group of qualifications.

5.2 Active Centres

The two year transition period whereby CCEA Regulation accepted Ofqual awarding organisation recognition status in May 2016 expires. Awarding organisations must have active centre in Northern Ireland by May 2018.

http://ccea.org.uk/regulation/guidance/handbook_awarding_organisations

5.3 CCEA Regulation Logo

The two year transition period to have the CCEA Regulation logo on qualification certificates expires in May 2018. All qualification certificates must have the CCEA Regulation logo by that date. http://ccea.org.uk/news/2018/regulators_provide_advice_use_logos_certificates

5.4 2018 Statement of Compliance

The submission window will be 1 June to 30 September 2018. CCEA Regulation will write to awarding organisations in May 2018 to inform them of the requirements for the 2018 Statement of Compliance process.

Appendix



CCEA Regulation Annual Statement of Compliance 2017

Please complete this template to make your annual statement to CCEA Regulation, as required by GCOR B2 of the CCEA General GCOR 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 GCOR 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 GCOR 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 GCOR 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			Likely future non-compliance action plan		
Non-compliance (e.g. A1.3)	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 non-compliance (e.g. A1.3)	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 awarding organisation's contacts with centres/teachers in N 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 GCOR 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.

Please complete the table below

Quarter	Return Made	No of Qualifications submitted	No of Qualifications accredited
July – Sept 16	Yes/No		
Oct – Dec 16	Yes/No		
Jan – June 17	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 should include all of the following:

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

Section 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 or copies of this report, please contact:

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