



All Responsible Officers

29 July 2021

## Annual Statement to your regulator

Dear Responsible Officer,

In our letter dated 20 May 2021, we confirmed that this year's Statement of Compliance (SoC) is to be delivered in conjunction with Qualifications Wales and CCEA Regulation. I am writing to confirm further information regarding the key lines of enquiry that will be taken and what we will expect in the overarching declarations of current and future compliance.

## Dates and platform

The 2021 SoC window will be open from Monday 4 October 2021 to Friday 7 January 2022. As last year, we are not using the Portal to collect information but will instead be using the Citizen Space platform.

## Key Lines of Enquiry

We have also agreed with Qualifications Wales and CCEA Regulation to ask specifically about the following areas:

- Organisational Stability (linked to Condition [A5 – Availability of adequate resources and arrangements](#)) – focussing on post-Covid recovery
- IT Risk Management (linked to Condition A5 (above) and [Condition A6 - Identification and management of risks](#)) – in particular, focusing on contingency planning and cyber security

Ofqual will also be asking some questions around the External Quality Assurance of apprenticeship end-point assessments.

We know that you will be eager to have further detail on the key lines of enquiry, and hope to share this with you in our next update. We do however expect the questions to be of a similar depth to those included in the 2020 annual statement.

### **Conditions of Recognition**

Under all 3 regulators' Conditions of Recognition [Condition B2](#), you must provide an annual SoC to your regulator. You must state whether you are currently compliant or non-compliant with your Conditions of Recognition and, if the latter, describe each instance of non-compliance and the date by which you expect to rectify the failure.

The statement is also forward-looking, and you must specify that you have no cause to believe you are likely to fail to comply with your Conditions of Recognition for the following 12 months, or if you believe you might fail, the grounds for this and the steps being taken in relation to it.

In advance of the SoC opening, we are providing you with information setting out what your declaration will look like.

We will be asking you to declare:

#### **Current compliance declaration:**

- a) I am currently compliant with all Conditions of Recognition (except where alternative Ofqual/CCEA Regulation/Qualifications Wales regulatory frameworks are in place)
- b) I am not currently compliant with all Conditions of Recognition for reasons other than adhering to alternative regulatory frameworks in place (with the usual follow up questions on each instance of non-compliance and the date by which you expect to rectify the failure).

#### **Future compliance declaration**

- a) I believe that I may be compliant in the next 12 months with all Conditions of Recognition (except where alternative Ofqual/CCEA Regulation/Qualifications Wales regulatory frameworks continue to be in place)
- b) I believe that I may not be fully compliant with all Conditions of Recognition in the next 12 months except where alternative Ofqual/CCEA Regulation/Qualifications Wales regulatory frameworks are in place (with follow up questions on each instance of potential non-compliance, the grounds for believing it to be likely to occur, and the steps you are taking in relation to it).

We would also like to take this opportunity to remind you of the changes that were introduced to Condition F1 – Information on fees. The new version of this Condition came into effect on 18 January 2021, and therefore you will need to consider compliance against this [updated Condition](#) as part of your annual statement.

We will write to you again in the first week of September with instructions and guidance to support your submission.

We would be happy to help with any questions about the 2021 process. To contact Ofqual please reply directly to this letter on the Portal. If your query is for Qualification Wales please email [statementofcompliance@qualificationswales.org](mailto:statementofcompliance@qualificationswales.org), and for CCEA Regulation please email [ccearegulation@ccea.org.uk](mailto:ccearegulation@ccea.org.uk).

Yours sincerely,



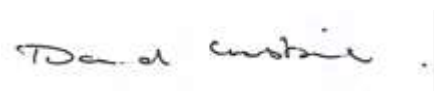
**Yun Ding**

Associate Director, Standards for Delivery and Performance of VTQs



**Denver Davies**

Head of Monitoring and Compliance, Qualifications Wales



**David Crosbie**

Programme Manager, CCEA Regulation