



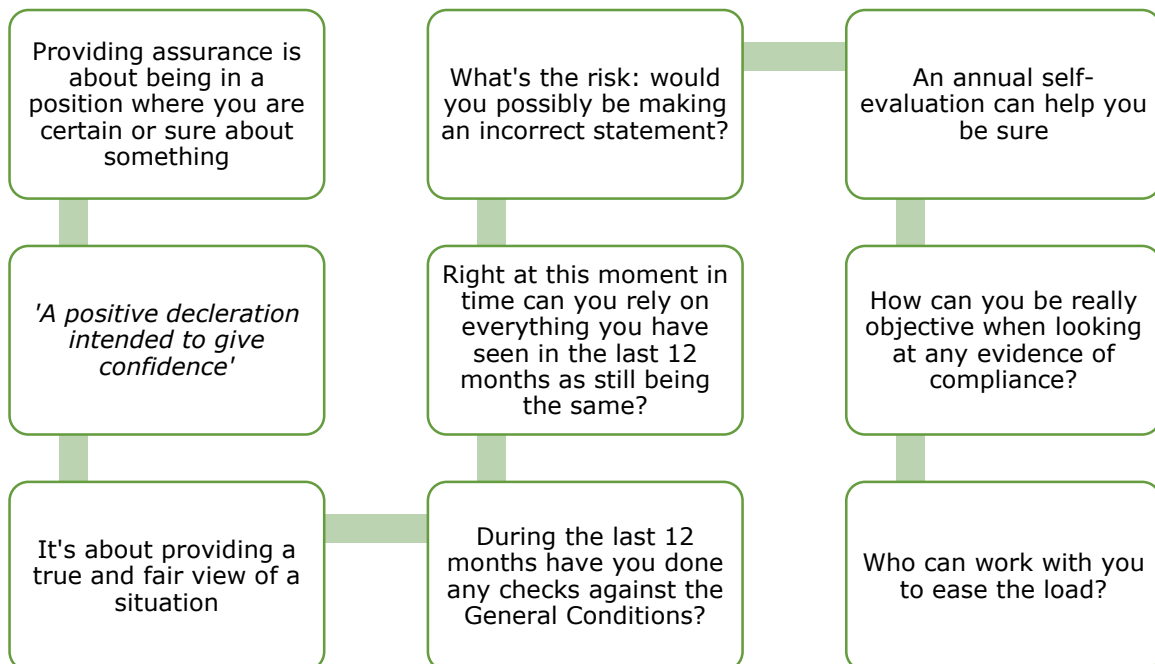
## A state of being certain: 2015 Statement of Compliance

Having spoken with a few AOs there is definitely mixed understanding about what Ofqual expect this time round.

Ofqual may not be seeking evidence of a self-evaluation exercise, or how the AO assures itself on compliance matters but they do expect some work to be done. The Instructions issued in March say 'Your annual statement ...describes and provides assurance of your levels of compliance with the General Conditions' and goes on 'We expect you... to evaluate objectively and critically your levels of compliance with the Conditions to which you are subject.'

So although you don't need to include your evidence some kind of exercise to evaluate the AO level of compliance is a must – for the sake of mutual understanding let's call it a self-evaluation.

### A few things about assurance and self-evaluation



I sometimes get told by AOs, 'but we are doing this every day'. I'm not so sure. My proposition is what is actually happening is monitoring against expectations in the business and looking for exceptions that often come in the form of some problem or difficulty. Yes, there may also be occasional exercises to review policy against the requirements, or a rapid re-write of a procedure that missed something out eg checking conflicts of interest. But is that enough to sign your statement to say all is well?

My point is that life is busy and unless compliance is your sole job do you really get chance to evaluate where you are on compliance without interruption? With the self-evaluation it's a good way to ring-fence the activity, get the team involved and chew over the General Conditions. By the way that does still mean some on-going compliance activity should be happening throughout the year too.

My first tip on the self-evaluation subject is think of it as a health check. An AO's health check will help see how healthy things are, identify any treatments needed, or perhaps lead to the introduction of a new healthier lifestyle in certain quarters to fend off problems. I'm encouraging you to re-imagine what self-evaluation can do for the AO!

#### Thinking about the self-evaluation exercise



I will be publishing some more hints and tips on:

- Good practice in self-evaluation.
- Identifying and using evidence in the self-evaluation.
- About controls and how they contribute to evidence in the self-evaluation.

If you would like to receive early copies of my hints and tips please email me on [Heather@awardingfirst.co.uk](mailto:Heather@awardingfirst.co.uk) and tell me what you would find really helpful as guidance on Ofqual compliance.

#### If you liked this and found it useful

I can help support your self-evaluation, taking some work off your to-do list and giving you the confidence of a professional job. I can guarantee you satisfaction. I have experience as a Responsible Officer and worked with a range of AOs small and large.

Heather works with AOs to support qualification development, compliance and other projects. If you would like to talk about self-evaluation call Heather on 0789 479 6262, or email [Heather@awardingfirst.co.uk](mailto:Heather@awardingfirst.co.uk)